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ABSTRACT

The program of the 128th meeting of the Association of Research Libraries (ARL) is designed around the notion of examining rapid changes taking place in individual institutions and becoming agile enough to adapt, to manage change, and to learn how to effectively lead libraries through these turbulent periods. The program is divided into three main Sessions: (1) Thriving Amid Uncertainty; (2) Perspectives on Leadership in Changing Times; and (3) Scholarly Communication and Technology. In addition to the panel discussions, the following papers are presented: "Universities as Agents of Change" (David W. Strangway); "Thriving Amid Uncertainty" (Jim Harris); "The Facts and Issues in the Michigan Document Services Case" (Susan Kornfield); "Amending Canada's Copyright Law While Renegotiating the Cancopy License" (Graham Hill); "Leading Teams To Lead Themselves" (Charles Manz); "Profiting from Those We Underestimate: Dissent and Innovation" (Charlan Nemeth); "The Critical Features of Innovation" (Andre Delbecq); "Learning How To Learn" (Jim Harris); "Columbia University's Online Books Evaluation Project" (Carol Mandel); "Project Muse" (James G. Neal); and "The Scan Project" (Susan F. Rosenblatt). Appendices include reports on the ARL business meeting, electronic scholarly publishing, global resources program, ARL activities from October 1995-April 1996, financial statements for 1995, and an ARL attendance list. (AEF)

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LEADING THE AGILE ORGANIZATION

ASSOCIATION OF RESEARCH LIBRARIES PROCEEDINGS OF THE 128TH MEMBERSHIP MEETING

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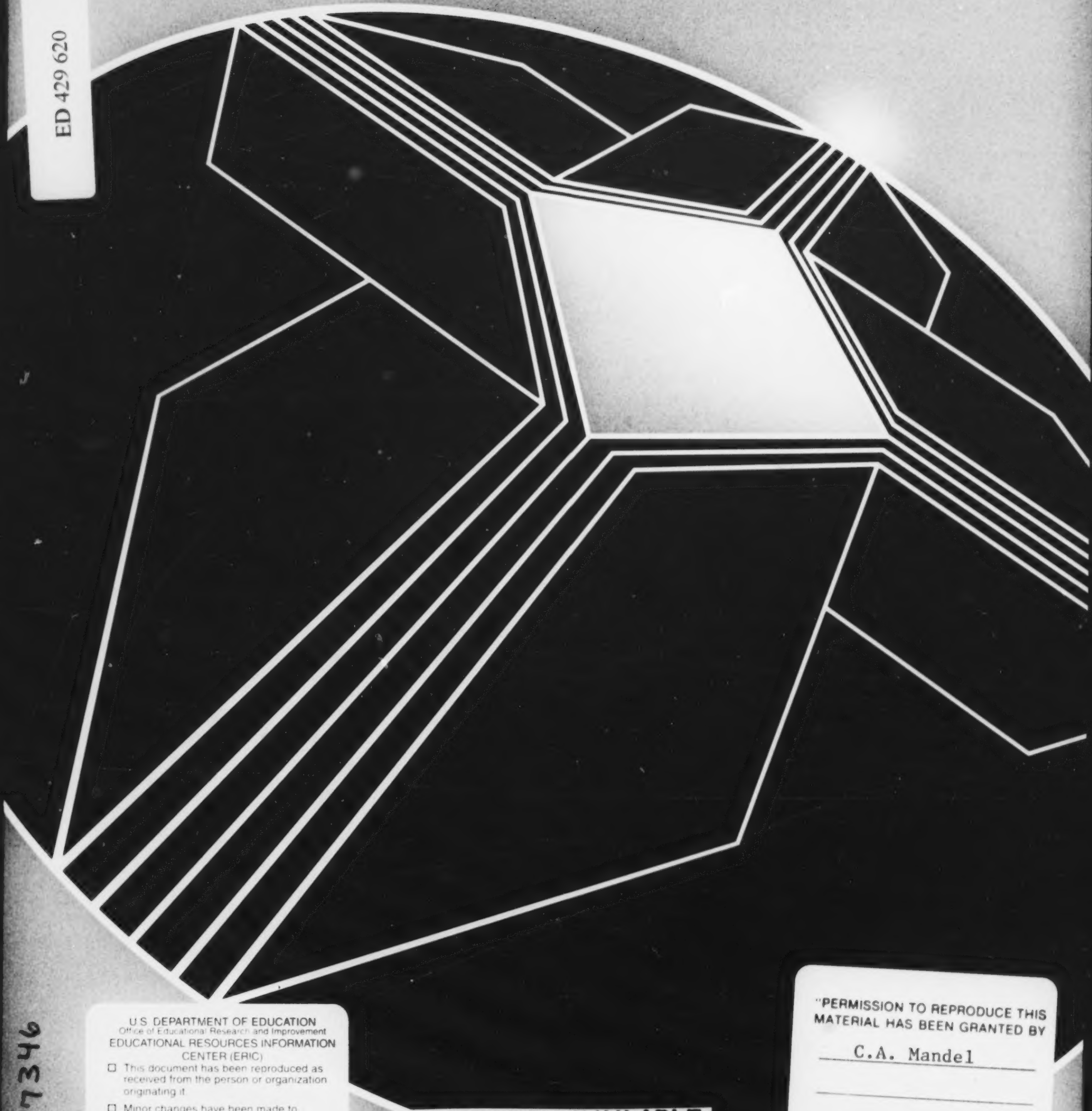

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LEADING THE AGILE ORGANIZATION

ASSOCIATION OF RESEARCH LIBRARIES
PROCEEDINGS OF THE 128TH MEETING

VANCOUVER, BRITISH COLUMBIA
MAY 15-17, 1996

NANCY CLINE, PRESIDING

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TABLE OF CONTENTS

FOREWORD....7

OPENING & WELCOME

Nancy Cline, ARL Presiding President....9

KEYNOTE ADDRESS

UNIVERSITIES AS AGENTS OF CHANGE

INTRODUCTION....13
Ruth Patrick, University Librarian, University of British Columbia

UNIVERSITIES AS AGENTS OF CHANGE....15
David W. Strangway, President, University of British Columbia

QUESTION AND ANSWER SESSION....19

PROGRAM SESSION I

THRIVING AMID UNCERTAINTY

INTRODUCTION....25
Convened by Carolynne Presser, President, Canadian Association of Research Libraries

THRIVING AMID UNCERTAINTY....27
Jim Harris, Management Consultant, Strategic Advantage, Inc.

QUESTION AND ANSWER SESSION....33

LUNCHEON SESSION
GOVERNMENT RELATIONS UPDATE

INTRODUCTION....35
Convened by James G. Neal, Eisenhower Library Director, Johns Hopkins University

THE FACTS AND ISSUES IN THE MICHIGAN DOCUMENT SERVICES CASE....37
Susan Kornfield, J.D., Bodman, Longley, and Dahling

QUESTION AND ANSWER SESSION: MS. KORNFIELD....43

ADDENDUM A: KORNFIELD MEMO RE: PUBLISHERS' MISSTATEMENTS REGARDING CLASSROOM GUIDELINES; RESPONSE OF MICHIGAN DOCUMENT SERVICES, INC. 47

ADDENDUM B: THE MDS DECISION AND FAIR USE FOR COURSEPACKS(1996) 59
Kenneth D. Crews, Associate Professor of Law and Library and Information Science, Director, Copyright Management Center, Indiana University Purdue University at Indianapolis

ADDENDUM C: UPDATE ON THE STATUS OF THE MDS CASE [1997] 65

BEST COPY AVAILABLE

AMENDING CANADA'S COPYRIGHT LAW WHILE RENEGOTIATING THE CANCOPY LICENSE 67
Graham Hill, University Librarian, McMaster University

QUESTION AND ANSWER SESSION: MR. HILL 77

PROGRAM SESSION II

PERSPECTIVES ON LEADERSHIP IN CHANGING TIMES

INTRODUCTION 79
Nancy Cline, Presiding President, ARL
Carolynne Presser, President, Canadian Association of Research Libraries (CARL)

LEADING TEAMS TO LEAD THEMSELVES 81
Charles Manz, Professor, Arizona State University

PROFITING FROM THOSE WE UNDERESTIMATE: DISSENT AND INNOVATION 85
Charlan Nemeth, Professor, University of California at Berkeley

THE CRITICAL FEATURES OF INNOVATION 89
André Delbecq, Professor, Santa Clara University

LEARNING HOW TO LEARN 93
Jim Harris, Management Consultant, Strategic Advantage, Inc.

PROGRAM SESSION III

SCHOLARLY COMMUNICATION AND TECHNOLOGY

INTRODUCTION 95
Richard Ekman, Secretary, The Andrew W. Mellon Foundation

COLUMBIA UNIVERSITY'S ONLINE BOOKS EVALUATION PROJECT 97
Carol Mandel, Deputy Director, Columbia University Libraries

PROJECT MUSE 101
James G. Neal, Eisenhower Library Director, Johns Hopkins University

THE SCAN PROJECT 107
Susan F. Rosenblatt, Deputy Director, University of California at Berkeley Libraries

QUESTION AND ANSWER SESSION 113

APPENDICES

I. ASSOCIATION BUSINESS MEETING 115

PRESIDENT'S REPORT 117
Nancy Cline, Penn State University, ARL Presiding President

REPORT OF THE AD HOC MEMBERSHIP COMMITTEE ON OHIO UNIVERSITY 118
Gloria Werner, University of California-Los Angeles, Committee Chair

REPORT OF THE AAU/ARL STEERING COMMITTEE ON RESEARCH LIBRARIES 119
Jerry Campbell, University of Southern California, Steering Committee Co-Chair

Nancy Eaton, Iowa State University, ARL Board Subcommittee on Proposal to Coordinate E-Publishing

Dale Canelas, University of Florida, Chair, ARL Research Collections Committee

Member Comments

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REPORT OF THE MINORITY RECRUITMENT AND RETENTION COMMITTEE 123
Nancy Baker, Washington State University, Committee Chair

REPORT OF THE INFORMATION POLICIES COMMITTEE 124
James Neal, Johns Hopkins University, Committee Chair

REPORT OF THE COPYRIGHT ISSUES WORKING GROUP 124
James Neal, Johns Hopkins University, Committee Chair

Motion and Discussion on MDS Case

REPORT OF THE EXECUTIVE DIRECTOR 127
Duane Webster, Executive Director, ARL

II. ELECTRONIC SCHOLARLY PUBLISHING 131
Memo from Duane Webster, ARL Executive Director, June 6, 1996

III. GLOBAL RESOURCES PROGRAM 137
Memo from Duane Webster, ARL Executive Director, April 10, 1996

IV. REPORT ON ASSOCIATION ACTIVITIES, OCTOBER 1995–APRIL 1996 153

V. AUDITED FINANCIAL STATEMENTS FOR THE YEAR ENDED DECEMBER 31, 1995 193

VI. ATTENDANCE LIST 215

FOREWORD

LEADING THE AGILE ORGANIZATION

Research library leaders are not strangers to large-scale, paradigm-shifting change. Each generation has been energized and invigorated by challenges that they felt were critical to the long-term success of their enterprises. From the expansion of higher education in the 1960s through the technological innovations of the 1990s, libraries have kept pace and flourished through their ability to use resources effectively to anticipate, meet, and often exceed the expectations and needs of their users.

What research libraries are experiencing today that is different from the past is a level of complexity and a rate of change that outpaces the ability of an organization to absorb and adapt to its impact. Because no single response can address the enormity of this challenge, enterprises in both the for-profit and not-for-profit arena share a common quest for "agility," the ready ability to move with quick, easy grace.

This program examined the experiences and thoughtful observations of a number of individuals who have worked in the process of leading enterprises through these turbulent times into the ongoing challenges of the 21st century. The meeting opened with a keynote perspective on change in higher education, presented by David W. Strangway, President of the University of British Columbia. Jim Harris, Strategic Advantage, Inc., a management consultant based in Toronto, then offered the first program session, providing insights into how the for-profit sector is dealing with the uncertain and unstable environment in which we coexist.

For the first day's luncheon program, Leo Voogt, Secretary General of the International Federation of Library Associations, offered his perspectives on current issues in international librarianship. Aldyth Holmes, Director of Publishing at the Canada Institute of Scientific and Technical Information, then provided an overview of trends in electronic scientific publishing. On the second day, there were also two guests at the luncheon program. Attorney Susan Kornfield, who represents the Michigan Document Services, Inc., reported on the status of fair use of copyrighted material in light of a recent U.S. court decision on "coursepacks." Graham Hill, University Librarian at McMaster University, reported on the status of license negotiations between Canadian universities and CANCOPY.

Program Session II began with a panel of speakers, each of whom offered a brief overview of an approach to developing agility and flexibility in an organization. This plenary session was followed with two breakout sessions where attendees had the opportunity to discuss these approaches in smaller groups. Charles Manz, Professor, Arizona State University College of Business, focused on using teams for organizational flexibility. Charlan Nemeth, Professor, University of California at Berkeley Department of Psychology, discussed developing individual creativity as a means of building organizational agility. Using organizational structure as a tool for flexibility was the focus for André Delbecq, Professor, Santa Clara University Leavey School of Business and Administration. Finally, Jim Harris, Strategic Advantage, Inc., outlined a holistic approach for sustained success.

To gain organizational experience in a networked information environment, a number of projects are being pursued to explore the implications of electronic technologies for publishing scholarly materials, conserving them, making them more readily accessible to users, and more affordable for research libraries. Program Session III showcased the preliminary findings from three such "natural experiments" that are supported by The Andrew W. Mellon Foundation. Carol Mandel, Deputy University Librarian at Columbia University, reported on the Online Books Evaluation Project; James

Neal, Director of the Eisenhower Library at Johns Hopkins University, reported on Project Muse; and Susan F. Rosenblatt, Deputy University Librarian at the University of California at Berkeley, reported on SCAN (Scholarship from California on the Net). Richard Ekman, Secretary of The Andrew W. Mellon Foundation, moderated the panel and led a discussion of the implications of such projects for scholarly communication.

OPENING AND WELCOME

Convened by Nancy Cline, Presiding President
ARL

MS. CLINE (Pennsylvania State University): Good morning. I'd like to welcome you to the 128th Meeting of the Association of Research Libraries.

First, I would like to bring to your attention several new directors who are attending their first ARL meeting. They are Patricia Breivik (Wayne State University); Bill Walker (New York Public Library); Ann Wolpert (Massachusetts Institute of Technology); and Joan Giesecke (University of Nebraska). As is our tradition, we have asked some our veteran directors to introduce these newcomers. Carole Armstrong will introduce Pat Breivik, Sul Lee will introduce Bill Walker, Dick DeGennaro for Ann Wolpert, and Bill Crowe for Joan Giesecke.

But before I turn to that, I would also like to welcome the many acting and interim directors, as well as representatives who are here from other libraries. I would like to especially acknowledge the fact that we are meeting here with members of the Canadian Association of Research Libraries (CARL), many of whom were present for some of the committee meetings yesterday and who will be with us throughout this meeting, including Carolynne Presser, President of CARL. We feel extremely fortunate to have this unusual opportunity to share our membership meeting with you. I welcome you all.

And now Carole Armstrong.

MS. ARMSTRONG (Michigan State University): It is a pleasure to introduce Patricia Breivik to you this morning. Patricia came to Wayne State University about a year ago as Dean of Library Services at the University Library and the Library Science Program. Prior to that, she was the Associate Vice-President for Information Services at Townsend State and served as an ACE Fellow. She is currently serving as the ACRL President, a position from which I'm sure most of you know her. We welcome Patricia to the ARL community.

MS. CLINE: Sul Lee.

MR. LEE (University of Oklahoma): Thank you. Last fall I had the occasion to visit New York Public Library and meet Bill Walker for the first time. It's a great pleasure to introduce him to you this morning. Bill received his B.A. from Lakehaven University, did graduate work at Penn State, and received his Library Science degree from the University of Michigan. He was appointed to the position of Senior Vice-President and the Andrew W. Mellon Director of The Research Libraries of New York Public Library in November 1995. In this capacity he was responsible for the operation and overall management of the research library, including public service, cataloguing, conservation, automation, and collection development.

Bill joined the library in 1989 as Associate Director for External Services, a newly-created position to which he brought 17 years of prior experience in health science libraries. In this capacity, he oversaw a move to the newly-completed Bryant Park extension and the development of a corporate service division, the library's first fee-based service division. In 1990, Bill assumed additional responsibility as Associate Director for Science, Industry, and Business. In 1991, he was awarded the library's Esther Fellowship.

Commenting on his appointment, President LeClerc noted, "Of all the appointments I've made in my career, selecting the next Andrew W. Mellon Director of Research Library is easily the most important. Bill Walker's appointment pleases me enormously. He has repeatedly shown that he has the vision and drive to help us transform this great twentieth century library into a brilliant twenty-first century [resource]." Please join me in welcoming Bill Walker.

MS. CLINE: Thank you. Dick DeGennaro.

MR. DeGENNARO (Harvard University): Good morning. It's my pleasure to introduce my friend and colleague, Ann Wolpert, to the membership here.

Ann is a real Bostonian; she has been around Boston practically all her life. She first graduated from B.U., and then from Simmons's Library School. She came to head up the Baker Library at the Harvard Business School about four years ago, not only focusing on the library, but also to develop information services for the entire Business School. She came to that job from a 16-year career as a consultant at Arthur D. Little, and more recently she was a director of the Arthur D. Little Cambridge Information Center, their special library.

Ann has a wide variety of other experiences as well. She is a member of the MIT Press Board, the Boston Library Consortium Board, OCLC Users Council, and the OCLC Board and she was recently President of the Simmons Alumni Association. I'm personally delighted that Ann is assuming directorship at MIT, and I am confident that she will continue the close cooperative working relationship that her predecessor Jay Lucker and I developed between MIT and Harvard before he left.

I think you'll find that Ann will be a good friend and colleague to you all. Please join me in welcoming Ann to ARL.

MS. CLINE: And last, Bill Crowe.

MR. CROWE (University of Kansas): Good morning. There are a number of us who could introduce Joan Giesecke from Nebraska, and I'm very pleased to have been asked to do so.

Joan is someone who I think many of us know of as an author. Her list of publications is extensive, and she is currently editor of the ALA publication *Library Administration and Management*. She teaches aggressively in library science across the plains and gets rave reviews from students. A number of my own staff have had her as an instructor and can't say enough about her. And she is someone we can always call on in our larger group in the mid-continent area.

We know she has a commitment to collaboration, to partnership, and an openness to ideas, and that bespeaks nine good years at Nebraska with many more to come. Joan came from George Mason before that, where she had a decade of exceptional service.

In thinking of how to describe Joan as a person, the two things that came out were, first of all, that she's a doer; she is always somebody you can count on. Some of us in the Big 12 region will remember late-evening phone calls to Joan asking, "Do you think you could write that grant proposal by tomorrow?" And, the second thing, Joan would always deliver and deliver with high quality.

The thing that I did not know about Joan until I looked at her background in more detail, which gives me a great deal of pleasure contemplating the next few years in this association, is her own research background in public administration. We can contemplate what we may expect from Joan as a contributor to ARL by looking at her dissertation, entitled, "Making Decisions under Chaotic Conditions."

Joan, we know that you will make a great contribution to ARL. We are very pleased to have you join us.

MS. CLINE: Welcome all. I have two other individuals I would like to introduce. First is Dr. Cornelius (Neil) Pings, President of the AAU. The other is Sandria Freitag, Executive Director of the American Historical Association. We are pleased to have you join our meetings this week.

On Friday, when we have our business meeting, we'll be saluting those directors who are retiring or departing from our company, so we will have some additional commendations then.

Now, to the program that lies ahead of us today. In terms of what we are each witnessing in our individual institutions, I think we would agree that we are experiencing change at a faster pace and to a greater extent than we have ever experienced it before. In some cases, there is the concern that the rate and level of change is outpacing the ability of our institutions to absorb and adapt to the change. This meeting's program, "Leading the Agile Organization," is designed around the notion of examining these changes and becoming agile enough to adapt, to manage change, and to learn how to lead our libraries—these large and complex institutions—through these turbulent periods so that we can emerge in the forefront.

We have for you today a talented, energetic, and informative group of presenters who will share their perspectives on these and other topics. I think you will find the entire day both entertaining and educational.

At this point I would like to introduce Ruth Patrick, University of British Columbia, and, at the same time, I would like to again express for the entirety of the Association our thanks for the exceptional hospitality that we are enjoying here in Vancouver. Ruth, her staff, and her colleagues have worked very hard to put together many of the local events and activities. It was at their recommendation that many of these extracurricular activities have been put together: including the tours and extraordinary reception at the Museum of Anthropology last evening. Ruth, we thank you.

KEYNOTE ADDRESS:
UNIVERSITIES AS AGENTS OF CHANGE

INTRODUCTION

Ruth Patrick, University Librarian
University of British Columbia

Good morning everyone. I hope you had a spectacular time yesterday, and I know we're going to have a great program today.

Since each of us is dealing with fast-paced and complex change in our libraries, I wonder if you had, as I did, this just-in-time feeling about the topic of this conference, "Leading the Agile Organization." As we learn about strategies to get us through these turbulent times, what better place to start than with the change in higher education that is challenging libraries.

Our speaker this morning, President David Strangway, is well qualified to give us insights into change in higher education and share with us strategies that worked for him. To describe Dr. Strangway is to build a portrait of a person who personifies change. During his 11 years at the University of British Columbia, he developed an endowment fund for scholarships and over 60 endowed chairs, second in size in Canada only to that of McGill University, which for us in Canada is a benchmark institution for fundraising.

He also oversaw the construction of 15 new buildings valued at over $650 million. We are told that the construction at UBC during this period even outpaces the construction that was done in Vancouver for Expo. You may have seen under construction the Performing Arts Center, the Art Gallery, and, of course, our beautiful new library. If you have seen the library, you will realize that Dr. Strangway is an important friend to the library; without him we would not have that building in the center and heart of the university, where it should be.

He also helped facilitate a dramatic rise in research funding to the university. He has done something unique to achieve that: he formed the UBC real estate corporation to develop an ongoing investment in land. The first parcel raised $85 million for endowment, and there is more to follow. Recently, he signed an agreement that gives Coca-Cola Ltd. the exclusive right to sell its products on campus; I'm pleased to tell you that the library has been one of the first recipients of this money, with which we plan to purchase a second elevator for our new library.

Dr. Strangway's trademark is that he sees a unique opportunity and provides the required creativity, imagination, drive, and persistence to make it happen. What qualified him to successfully manage the changes he foresaw and shaped?

First, he's a scholar. He has a Bachelors degree in Physics and Geology, and a Masters and Ph.D. in Physics. He has authored or co-authored 165 scientific papers and one book. The recipient of many academic honors, he was awarded the Isaac Walton Killam Memorial Prize, Canada's most prestigious award in the sciences.

Second, he's a team leader. As chief of the geophysics branch at NASA, he was responsible for the geophysical aspects of the Apollo missions. He believes his days at NASA gave him some of the management and media relations skills he's found useful at UBC, especially in terms of how to establish priorities and objectives for the university.

Lastly, he's a man of vision, a man who has been described as the quintessential strategic thinker. At the beginning of his term he worked with others to develop a mission statement and a strategic plan which set goals in the areas of teaching research, campus development, fundraising, technology, and others. Eleven years later, most of these goals have been realized and, indeed, exceeded.

It is my pleasure to introduce to you a truly agile leader, President David Strangway.

UNIVERSITIES AS AGENTS OF CHANGE

David W. Strangway, President
University of British Columbia

Universities are often cited as among those institutions most unwilling to change. I thought first I would develop a slightly different theme—universities as agents of change that undergo continuous change. Are we on the receiving end of change or are we in significant measure the cause of change?

In thinking of continuous change, I asked myself what changes take place in one of our most important functions—teaching. What would the catalogue description of a course such as Introductory Physics 100 look like in 1996? It would probably say "This course is an introduction to the principles of modern physics. These principles form the underpinning of today's scientific method; they build on a knowledge of elementary calculus. Examples from the world around us are used to illustrate these principles."

I then imagined what the description of that course might have been like 81 years ago, the year that the University of British Columbia (UBC) opened its doors. The course description could well be identical and it could have been the same in 1925, in 1935, and in every year to the present. And yet think of the changes in that time to the actual teaching in the course. Relativity, quantum physics, solid state physics, low temperature physics, the uncertainty principle, lasers, and on and on; all subjects that were not even on the horizon in 1915.

Even in a few years, the content of this course will change dramatically. It will be different every year and yet always based on fundamental principles. And the same could be said for every other discipline as the discipline moves ahead, sometimes changing in spurts, sometimes in leaps and bounds, but always continuously changing.

It has been estimated that 30% or more of the U.S. gross national product can be traced directly to the revolution in modern physics in the 1920s. Think, for example, of some of the major events that have been the basis for today's information revolution. The first major step was the remarkable advances of the 1920s with the discovery of quantum processes and the development of wave mechanics as an alternate way to describe the nature of matter.

This fundamental and exciting period challenged all conventional thinking. The research certainly had nothing whatsoever to do with the search for practical results. As time went on, the first glimmerings of solid state physics were developed and the energy band gaps that became the basis for such devices as the transistor. But these were not possible without the incredible progress made in the preparation of ultra-pure materials and the ability to dope these materials with controlled and very minute amounts of impurities. The metallurgical and materials developments of the 1940s made it possible to manufacture solid state devices.

In the late 1940s, a whole new field of communication theory was developed to try to get the maximum amount of information into radio or telegraphic communications. Thus was laid the foundations for the remarkable digital breakthroughs of the 1950s and 1960s. Whole new industries were built on these research developments, carried out initially without practical purpose or expectation of economic returns. In my own field of geophysics, the digital revolution that came out of the universities created whole new ways of sounding the earth for its resources. This revolution made Houston, London, and Calgary the largest computing centers in the world. And yet, today we take for granted our ability to communicate around the world instantly, and we have massive computing power in our own possession. All of these developments can be traced to research carried out in the universities of the world.

This research has become the basis for a massive share of the world's economy and can all be traced through dozens of chains of seemingly irrelevant research carried out in university laboratories around the world. The roots of the revolution in information technology comes directly from the universities.

Today, we read almost weekly about new breakthroughs in biomedical research, based on our ever-improving knowledge of genetics. Major industries have been built on the new biotechnologies but again, all of this can be traced to basic research, carried out in hundreds, if not thousands, of laboratories around the world. None of the pioneers could have had any idea of what changes in our world would be unleashed by their work or that the economies of the world would be driven by them. Again, the biotechnology revolution is firmly based in university research.

But we need not restrict our thinking to scientific revolutions. New ways of thinking in the social sciences and humanities are causing us to reexamine our approach to policies, to values and ethics, to new ways of learning and to being sure we understand the best of yesterday to illumine today, and to help us be ready for tomorrow. Some years ago I was in a traffic jam behind a bus in England. A large billboard proclaimed "How like the British to preserve the best of the past while adopting the best of the new." I thought, "What a good description of universities," except I would have added, "while creating the best of the new."

There seems to be a perception that universities are unresponsive, unchanging institutions. Nothing could be further from the truth. Through the centuries, and certainly through the 20th century, we have been the principal agents of change. It is our research and our faculty members and our graduates who have been, and continue to be, the cause of those changes that have driven us into the knowledge-intensive, interconnected world. Every time you use a portable computer or use a modern medical breakthrough or, for that matter, travel by car or plane, stop and think about the thousands of university faculty members and their students who made all this possible.

This province is very proud of its newly found bridges to the Pacific. There is no doubt of this significance. But in the 1930s, UBC started its first courses on Japan and China. Nobody told UBC that this was important. My predecessors at UBC understood very well that Canadians must be increasingly aware of other nations and become excited about the intellectual challenge of learning and understanding about Asia and its languages and cultures. Even here, we can see that universities have been the basis for the change driving us to focus on the Pacific. This knowledge came directly from the studies carried out by our predecessors in the universities.

I cannot predict the changes that we will face in the months, years, and decades ahead. If I knew what they were going to be, it would be too late to do anything about them anyway. Instead, what I do know is that what your and our faculty members are doing today will be the basis for the next generation of changes whatever they may be.

This is an interesting time indeed as companies and governments are downsizing. I was intrigued by the words of Matt Barrett, Chairman and CEO of the Bank of Montreal. He observed that any company that needed massive downsizing was a company that had not been well managed. We, at UBC, are especially proud of the fact that 40% of our faculty were hired in the last 10 years. This is massive change and yet it represents constant renewal and change. Four percent per year is a very sensible rate of renewal and we have not massively downsized for the simple reason that our people are all working hard and effectively.

I was also intrigued by recent words by Peter Senge, author of *The Fifth Discipline*. He pointed out that companies are becoming more like universities as they de-layer their many layers of management, as they focus on their people and increasingly empower their people. I can't think of anyone more empowered than a tenured faculty member.

But this is the very basis of creativity, the academic freedom to create change without fear of retribution, and to dedicate oneself to those esoteric subjects that will be the unpredictable basis for tomorrow's change.

But none of this is to say that we do not have to continue to be sure that our people have the tools for the change.

A very interesting concept linking modern chaos theory to organizations was published recently. Chaos theory is quite technical but it describes the characteristics of self-organizing systems. Examples range from the microscopic in the physical and biological worlds to the giant. For example, it explains how galaxies, with their great orderly patterns, arise from random clouds of gas or how some of the wonderful biological systems become ordered. The key to deriving order from chaos to develop a self-organizing system is communication. If you think of this model then as applied to organizations, the common link that creates order out of all the things that faculty members do in their teaching and research, is communications. Here, of course, is the central role of the library and all the modern technologies that are required to create this needed communication. The network associated with the library is what empowers each individual and, in turn, this empowerment, linked by information and communication, is what creates order out of chaos.

What I find attractive about this concept is that it describes the characteristics of a university very well and ensures that we are not a top down organization as in a classic corporate command and control model. Rather, we already function as a delegate and empower organization; and what makes this work is communication. In turn, the library is the key element of this communication strategy in all of its manifestation. As I see it, this is the source of our agility and our responsiveness as the corporate world is only now discovering.

I was interested to see in the mission statements of both your organizations the focus on an effective agility strategy. I know that both ARL and CARL are proactive, looking to see what is coming, and working to shape the forces of change in a way that helps the university achieve order out of chaos. This is key to me and my colleagues (your presidents) in achieving our missions for our universities.

This understanding of this communication is being developed by librarians through consortial library groups that must include the various university community members—faculty, students, deans, department heads, and even presidents.

This discussion is beginning at UBC through a mechanism of Library Advisory Committees for each of the faculties, and through university-wide committees which focus on change. We now have committees looking at rights and responsibilities in the communication age and at infrastructure designed to make electronic materials available to all. Although this particular activity began within the confines of our own campus, as it has on many of your campuses, it began with a belief in the importance of broadening the communication beyond the university.

One concrete result already underway is the collaboration between the University of British Columbia and Simon Fraser University, to cosponsor a three-day national conference on scholarly communication, March 6-8, 1997. The purpose of the conference is to bring together the key players in Canadian scholarly communication including researchers and scholars, journal editors and publishers, technical consultants, CARL, AUCC, SSHRC, NSERC, Industry Canada, Department of Canadian Heritage representatives, learned societies, faculty associations, communications law scholars, senior librarians, and university administrators. The goal of the conference is to share knowledge, skills, and technology, and to provide the foundation for a national strategic plan for scholarly communication. A policy-drafting committee will be nominated by the conference. The strategic plan will be designed to enhance the primary function of scholarly communication: to share knowledge.

CARL and the Association of Universities and Colleges of Canada (AUCC) published a discussion paper, "Towards a New Paradigm for Scholarly Communication," in September 1995. It focuses on the current "crisis" in scholarly communication based on print media arising from the following problems: copyright surrender to publisher; escalating cost of subscriptions for work done for free largely by the readership of the journals; long delays between research and publication; and a proliferation of print journals and limited library serials budgets. The paper proposes a number of actions to help alleviate these problems in the areas of copyright reform, intellectual property policies of universities, and tenure and promotion policies. It concludes that collaboration is a necessary component of reform, and advocates promoting "partnerships which apply new networking technologies" within universities as well as outside, and promoting "efficient resource-sharing between universities in Canada and abroad."

Collaborative strategies such as these I've described are needed to build the understanding that is the first step to gaining acceptance of and support for change. Understanding is the basis of consensus building, which is needed for effective change to take place. It may even lead to enthusiasm! As for leadership roles—leadership has to be and can be everywhere and is everyone's responsibility in a self-organizing system.

QUESTION AND ANSWER SESSION

MS. PATRICK (University of British Columbia): Thank you, Dr. Strangway. Are there questions, comments, or observations regarding Dr. Strangway's address?

MR. KOBULNICKY (University of Connecticut): Could you reflect just for a minute on your 11- or 12-year history to speak about the changes during that period and tell me if you think that there is still some way of looking back at what has taken place in that self-organizing system, while also being able to look at its meaning when looking forward?

DR. STRANGWAY: Well, that's a very tough question, because what you, who are not from British Columbia or maybe even Canada, may not be fully aware of are the enormous budget cuts that are taking place in some of our provinces today, particularly in Alberta and Ontario. In 1983/84, just before I arrived, there was a 25 percent cut in appropriations to the universities over a period of about a year and a half. That's a slightly exaggerated number because it's relative to inflation, and inflation was pretty high in those days.

Many of these things are imposed upon us and I, having come at the end of that time, have had a very interesting opportunity in this province to be in the aftermath of what the rest of our Canadian universities are now going through. Canadian universities in the other provinces, I expect, have more to come because they haven't yet come close to having what happened in this province when the revenues dropped deeply. This province is very dependent upon lumber, pulp and paper, and mineral products; when the price of these resources fall and companies lose money, there is no tax revenue.

We have been very fortunate in the sequential years and we have been aggressive with respect to campaign activities. Campaign activities, of course, are not really substitutes for budget cuts, because people don't like to give you money for what they pay to the tax office, but they have helped to keep a spirit of entrepreneurship and dynamism alive at the university.

In terms of other kinds of changes, we have also moved substantially as an institution. A lot of the focus has been on the physical side of things, but this isn't really where the big changes have been made. That's just the visible part. The substantial changes that have been made are among faculty members, students, and individuals: an increasing awareness that we have to be accountable to the public, and that first-rate research has to be competed for and won. So there have been dramatic shifts in the way people respond to this wider environment.

I'd like to think that these changes are here to stay, but I always come back to the point that I think of myself, vice-presidents, and even deans as being facilitators to allow people to do whatever it is they do and to do it very well. Which means I do believe in a kind of a chaos concept, because we don't, in fact, direct or instruct, and our missions really have to consider what individuals do. It's the collective that allows you to see the order, which is why I like the model so much.

There is a kind of a seamlessness that is beginning to appear in institutions, and I suspect that is taking place everywhere. People from electrical engineering are now talking to people from law about patent issues. People from all of these different areas are beginning to have a dialogue with each other and realize that, in some sense, we're all in this together.

MS. BREIVIK (Wayne State University): From the changes you have seen, do you notice any new trends in student learning towards preparing them to function better in such a chaotic world? If so, what role do you see for the libraries in such learning?

DR. STRANGWAY: We have not focused, certainly at our university, and it is probably true for others, nearly enough on the teaching and learning process. But, you hear people talking much more about learning than about teaching, which is probably good, because learning can be very diverse.

With the new technologies, there are immensely interesting ways of having people learn things more effectively. I keep coming back to it as improvement and enrichment in the learning process. Libraries have a very central role to play in the network dimensions and in the shared network of all of this kind of activity.

I don't see the technologies in our sector as being major drivers in the academic side of the institutions as productivity generators. I use those words because you have to use them for the bureaucrats, but I don't like using it in reference to academia because what the individuals do is what we're all about.

I hear lots of talk now about the outreach that goes into small communities, upgrading courses and things of that sort, a lot of which is being done through technology. So there are many things we can do that way, both in enriching our own learning processes as well as in reaching out to the wider communities. But this doesn't mean that you can decrease the number of faculty members and double your student numbers, because, by doing so, you lose the essence of what a university is all about: what its faculty members do.

MR. De GENNARO (Harvard University): Dr. Strangway, you have described tremendous changes that have taken place and new industries that have grown. Much of that was funded by the government. At the same time, you also describe the tremendous cutbacks that are being made both in the United States and Canada. Apparently your message isn't getting through to the government authorities. Would you comment on that phenomenon?

DR. STRANGWAY: In some ways it has not been getting through nearly as well as it should. But then again, in this province as we begin to move away from a resource-based economy to a knowledge-based economy, as it's described, I think there is an awareness and understanding that this is an essential element of the future of this place.

The problem in Canada is, as I guess it is in your country, that the country has enormous deficits, it has a debt that has accumulated to an enormously high level, and although that is largely at the federal level, all of the provinces also have a certain amount of debt, and there is some sympathy with the people who are trying to get the deficits and debts under control. We try to point out that we are the seed corn for the future and that we are probably the way out of debt in the long run, but if they take us too far down the path of debt not only will we not be able to recover, the province, or the country, will never get back, either.

My sense is that there is some understanding of that issue, but there are great dollar issues to be dealt with. They're very serious in Canada, and I'm sure they are in the U.S., as well. You have to have some sympathy, but I worry immensely that it's the very people we are educating and the very research we are doing that is the way out of this problem, and so we need to keep that message alive. But it doesn't mean they will hear us all of the time, or that, if they do hear us, they will do what we want them to do.

MS. BAKER (Washington University-St. Louis): Dr. Strangway, you talked about how universities are creating and driving the change that we deal with. The examples you gave were from the sciences. Can you comment on the role, or perhaps lack thereof, of the social sciences and humanities in creating the change with which we are living?

DR. STRANGWAY: I think it's harder to give concrete examples for the social sciences and humanities, but I do believe that the way of thinking things through, the way of analyzing them and so on, is absolutely central. Given the great communications revolution we are in, pretty soon technology will not be the issue. The question will be what we will do with technology, what values we will attach to it, and so on.

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In some ways, in the long run the social sciences and humanities will have a much greater impact on us than the sciences will. The sciences have developed these means to an end, but it won't be very long before we change our focus to what it is we want to do with all this wonderful technology. Perhaps we are already there. We haven't really asked those questions yet in society. The changes have been moving so quickly that we haven't really gotten back to the kind of policy questions and values that underlie them; in the next few years that will become more important as we think about why we are doing it all, or what advantage it is to us.

MS. von WAHLDE (State University of New York-Buffalo): The institutional direction you mentioned whereby more faculty are becoming interrelated in their work is a direction I hear my own administration talking about. How have you seen this approach work at your own institution?

DR. STRANGWAY: Much of the reason we were able to do some of those things is because we had a very aggressive fundraising activity. This effort was largely oriented to things that, in terms of endowments, had the capacity to cross various boundaries. In fact, there were many complaints from individual deans saying, "You didn't raise enough money for me and my faculty." And the answer was, "No, I raised a lot of money for the school of graduate studies because that is the one that crosses all the different disciplines and you have a chance, as a faculty member, to participate in that process."

Ruth also mentioned the capital fund we developed from the real estate corporation. We actually have taken all of that money and, instead of just putting it into the endowment, we have used it to create challenge grants for the faculties to do joint projects, and they are expected to double the funds. If a faculty has approval from us to go and seek funds for, say, a $2 million endowment, we will match that with a $1 million endowment, provided it fits the criteria, and that, of course, will help immensely in the fundraising activities.

MR. NEAL (Johns Hopkins University): One of the things we're trying to develop in the library community is a common concern about the future of scholarly communication. As a person who has contributed a great deal to the scholarly journal literature, has consumed a lot of it, and who is subsidizing it at the high level of university president, could you reflect a bit about how you look at the future of scholarly communication and, in particular, the future role and nature of the scholarly journal?

DR. STRANGWAY: That's a very difficult question. Even when I was publishing some years ago, my personal observation was that, in my field, by the time I read a paper in a journal, I had already heard it or had seen a first draft or a copy from my colleagues. If I was really right there with the particular things I was doing, I already knew what was being published.

Now, the question is, How do you move from the kudos you get from having it published to having more informal publishing? I think informal publishing has been in place a long time. It is obviously a lot faster now with faxes and other telecommunication technologies. I suspect that we will have to, over time, move away from the formality of the scholarly journals, at least in the kinds of fields I'm describing. But I don't know how one institution can make that decision on a unilateral basis.

It will have to somehow be a collective that says, "The journals aren't really very useful to me any more." The journals, to me, weren't really very useful, to be candid. The journals I did find to be the most useful were ones that had big review papers, because you would read a 40- or 50-page review that would help you catch up, and that's the kind of thing that would be great for instructional purposes, as well. As scientists, we always paid page charges, $1,000 a page or so, to publish our work when everybody who was ever going to read it had already read it before you put your money on the table.

I suspect that this process will somehow work its way through the system, but I think it will be very difficult. I don't know how it will change, but it clearly is going to change, and, in fact, is already.

MS. TAYLOR (Brown University): As you've observed developments in your own institution over the last decade and as you look into the future, do you see the evolution of new and improved ways for doing strategic planning that involves the entire institution?

DR. STRANGWAY: If I had the answer to that question, we'd be doing it. To pass the buck a little, in ten or 11 years now as president, I've been through six or seven premiers of the province. I've been through the same number of ministers and deputy ministers. And everyone, when they have come in, has started a five- or ten-year planning exercise. So I have a shelf full of provincial planning exercises, none of which ever actually had any impact at all, other than to make us do a lot of work and think about these things.

I don't want to be overly cynical about detailed academic strategic planning, but I have some sense that, no matter what you do, the scenario will change. I've even heard some of the gurus say that the era of strategic planning is over, that it's now the era of scenario planning, where you paint various scenarios and ask, "If it got this bad, what would we do?" and, "If it went this well, what would we do?"

I'm a little bit of that school, but not entirely, because we are working really hard, particularly on the support service side and all its various ramifications, to get a picture of what the actual costs are so we can truly understand where the subsidies are shifting within the institution. But I have a tendency to try to protect the academic core from getting into detailed academic planning because I'm not sure you can do a lot about that.

We have taken cuts, it's not that we haven't, but it's been a little here and a little there and over a period of time. These great massive planning exercises are really tough and I'm not sure they deliver results.

MS. BAKER (Washington State University): One of the major changes in my own institution, and I think it is true for many of my colleagues, has been in the area of distance education, where, instead of assuming that everyone will come to us, we are going to them—certainly for us, technology has made this possible. Could you please comment if that has been a major trend?

DR. STRANGWAY: It's a big pattern across Canada. It's true in this province for the interesting reason that we have too few people in too many small places, and we need distance education for feeding information into lots of small communities. I know that, in many parts of the world, it is happening for the opposite reason, but the solution may be the same.

Interestingly, this province years ago formed the Open Learning Agency (also called the Open Learning Institute, the Knowledge Network, and various other combinations) basically to try to open that up. Delivering distance education courses throughout the province via this Open Learning Agency has had a remarkably interesting effect. It has had a very important social effect because we've reached into homes, to places where people are time-bound or place-bound. They take one or two of these courses, and they get fired up about it. The incredible enrollment pressures that we have now at UBC are largely driven by distance education; at our institution we take in one out of every six applicants. The original idea was that this would be a cost-effective, inexpensive way of delivering information, but, in fact, it has had exactly the opposite effect. It will cost the province an immense amount of money to respond to this pressure, to the demand they created. But I maintain that this is a social good.

So, I believe it's good that distance education is interactive, but it didn't have the consequences that everybody expected, to get a lot of content out there without it costing much. It put a political pressure back because people said, "We really want our kids to get hands-on experience now."

MR. EADIE (University of Calgary): I'd like to bring you back, if I could, to the matter of money—not that you've gone all that far from it—because I, too, have been struck by the growth of universities since the end of World War II and, at least in Canada, the major role in which changed patterns of public funding fed that growth. My question is whether we are entering a new fiscal ecology and, if so, where do you see us as grazing?

DR. STRANGWAY: I expect we are entering a new fiscal ecology, driven largely by the deficit problems and debts. And there are real differences across the country because there are certain places in which the demand, as I think is true in parts of the U.S., is going down. In this province the population continues to grow and the 18- to 24-year-old population is going to grow substantially now and for the foreseeable future. So we're in a fairly different situation.

In British Columbia, we have traditionally had a very low participation rate, but what we're seeing is that the participation rate is growing, and there is a growing population, and that's what's putting the pressure on us. But that's not true in different provinces. In Ontario, for example, the demand is going down and people are scrambling to fill places.

As the federal and provincial governments begin to withdraw, we'll see tuition levels rise to something more comparable to what we see in the U.S. public institutions. We still have very low tuitions. I think there's a feeling in the country, and certainly in British Columbia, that if tuition were to double from its current $2,300, it would be well received as long as it was done reasonably slowly. I think we will see more things like what Queens is doing in the professional areas: we'll see high tuition rates where there's a quick payback. We will probably see medicine and dentistry moving in that direction.

In a way, the good news for us is that there is considerable room and public tolerance for a significant increase in tuition over the next few years.

MS. PATRICK: This brings the question and answer period to an end. Thank you, Dr. Strangway.

PROGRAM SESSION I
THRIVING AMID UNCERTAINTY

INTRODUCTION

Carolynne Presser, President
Canadian Association of Research Libraries

Good morning. I would like to take this opportunity on behalf of my colleagues and the Canadian Association of Research Libraries (CARL) to formally give you a Canadian welcome. We all look forward to the sessions today and tomorrow, as well as to some Canadian hospitality this evening.

Our session this morning is called "Thriving Amid Uncertainty." I think we are well-grounded in the nature of change that is occurring in higher education, some of which we heard about this morning. We have a pretty good understanding of how it is, or maybe isn't, being dealt with on our campuses. I hear some of my colleagues on campus comparing it to rearranging the deck chairs on the Titanic, but, really, we aren't alone in this.

However, most of us have little direct knowledge of how for-profit organizations are dealing with the social, economic, and technological pressures and changes beyond what we read in the newspapers and the business magazines. While companies and corporations have different kinds of flexibility and constraints—and sometimes we wish we had their flexibility—it's useful to take time to see what we can learn from their experiences, their experiments, and their initiatives.

Sidney Parnes, a creativity researcher, says that, "It's easier to tame a wild idea than breathe life into a dead one." I think our speaker today, Jim Harris, just may pitch us some wild ideas and try to fire us up a bit.

When we started to look for speakers who would also give you a Canadian context for our discussions today, Jim Harris came highly recommended; some of the words that described him were "passionate" and "inspirational." He is co-author of *The Financial Post* and the national bestseller, *The 100 Best Companies to Work For in Canada*.

Mr. Harris has worked as a journalist in print, radio, and television. He continues to write for *The Globe and Mail* and numerous other business and technical publications. He is part of the quiet revolution that is sweeping North American business: principle-centered leadership based on the work of Dr. Stephen Covey's *The Seven Habits of Highly Effective People*.

Mr. Harris is the principal consultant with the Strategic Advantage and Management consulting firm, which works with Canada's best companies, *The Financial Post* 500 companies, and others aspiring to join their ranks. His presentations focus on key leadership issues affecting all organizations: strategies for survival and success from the hundred best companies; employee empowerment; strategic alliances; the new economy; changing demographics; the rise of the new information technology; and that catch word paradigm—emerging trends and how they affect every organization and every environment.

Please welcome Mr. Jim Harris.

THRIVING AMID UNCERTAINTY

Jim Harris, Management Consultant
Strategic Advantage, Inc.

Good morning.

I attend about 100 conferences a year, and at every one the word "paradigm" comes up. In business it's very much in vogue. Thomas Koon coined the term when he wrote about it academically in 1967 in his book *Revolution of Scientific Thought*. I'd like to explain it in a slightly different way because I can't understand a complex concept unless I have an illustration. Picture this situation:

> You're at Heathrow International Airport, you just got off your morning flight, and you're very hungry because they didn't serve any breakfast. So you go off to the kiosk and buy a package of Walker's shortbread cookies, put it in your carry-on luggage, and venture back out into the airport.
> The airport is very noisy and very crowded. You find the only free seat and sit down. After a minute, with your stomach just rumbling, you reach down into your bag and pull out your package of cookies. But the man next to you is staring at your cookies; his eyes are just riveted to your package. As you open the package and take the first cookie, his eyes follow your hand to your mouth. Then, without saying a word, he reaches over and grabs the next cookie. You have another cookie. He grabs the next one.

How would you describe this man? Obnoxious? Aggressive? A lout?

> So this goes back and forth. You take a cookie, he grabs the next. This goes back and forth until there's only one cookie left. He reaches over and he grabs that last cookie, breaks it in half, gives you half, eats half himself, and then stands up and walks off. Obviously, his flight has been called.
>
> This has been so upsetting for you, so unnerving—a strange man in the airport eating your cookies—that your stomach is just churning. You're very upset. You need some Alka-Seltzer and, of course, another package of cookies.
>
> So you go back to the kiosk and buy another package of Walkers shortbread and the Alka-Seltzer. You pay for them and then go to put them in your bag. You open your luggage, look down, and see your package of cookies!

What had happened was that you had reached down by accident into the man's bag and had been eating his package of cookies. *Now* how would you describe that man? Generous? A poor communicator? Adaptable?

You see, a paradigm is the way we see the situation. We filter all our information through our paradigms. They determine our behavior. What we had at the kiosk there was a paradigm shift, an entirely new way of looking at that situation.

Now, imagine, while walking through the airport jiggling your luggage, the package of cookies has worked its way to the bottom of your carry-on, so that at the kiosk you don't see the original package. You put the new package in, unaware that there are now two packages in the bag.

Your flight is called, and you take your seat on the airplane. But can you believe who they seat you beside? The same man! They're about to serve lunch. What's your attitude? Imagine he's smiling. What do you think is going through his head right now?

Imagine he's frowning. What do you think?

It really doesn't matter what he does. You will find evidence in his behavior to support the paradigm, without even knowing it's going on.

Consider this scenario.

> I've never been to Vancouver before and Carolynne is good enough to send me a map, only she unwittingly bought a bad map and then faxed me some instructions on how to get to the hotel from the airport. So when I arrive, I can make absolutely no sense of the directions. Not a single road corresponds to the map. I call the Carolynne at the hotel and say, "I am totally lost." Now, Carolynne has been successful because of her diligence, so, she gives me some advice, "Jim, try harder. You're just not applying yourself. Change your behavior; put your nose to the grindstone." So I take her advice and double my speed—and get lost twice as quickly.
>
> So the second time I call her she detects, shall we say, an attitudinal problem and says, "Jim, I detect a bad attitude. That's your problem and it's preventing you from getting here." She asks me where I am and I describe the area. She says, "I happen to know a little book store there. I want you to go over and get some positive mental attitude audio cassettes. Once you change your attitude, you'll find your way here."
>
> So I get the tapes, listen to them, and I've never been so positive in my entire life. I resume driving 120 miles an hour. I'm still lost, but now I don't care. I've adjusted myself to that reality.

Now, I'm not speaking against hard work and I'm not speaking against a positive mental attitude, but if the road map we have is incorrect, those things won't make a significant difference. A paradigm really is like a road map. Why? A road map is not the actual territory. A road map is a mental model, a visual representation, a paradigm of the underlying territory. If we can develop more effective paradigms of our relationship with our client, the professors and the students; with our colleagues and how we work as a team; and of the paradigm shifts that are occurring within society, those new maps will make more difference than working harder and longer with a positive attitude and less valid paradigms.

During Columbus' time everyone believed the earth was flat. But Columbus saw the world a different way; he saw it as being round and that by sailing west he could get east. The interesting thing to note is that reality remained constant. The world didn't change. What changed was the mental model in Columbus' head. As a result of seeing the world differently, he behaved differently and he got different results, which made him different than his colleagues. But it is difficult to be a paradigm pioneer. Imagine you are Columbus; do you think it's easy to recruit a crew?

In a bowl on each table are six little pieces of colored paper. I'd like you to pass them out. Do not read the sentence until everyone has one. Now turn it over and read it. When you're finished, turn the paper back over. It's a simple sentence—maybe an awkward one. We'll have a critique of it later. You just have to read it. I'll give you another second or two.

The sentence reads:

FUNDAMENTALLY FIRST IS THE LESSON THAT PERCEPTIONS OF MANY OF YOUR OWN EXPERIENCES FORM THE BASIS OF YOUR OWN REALITY.

I'd like you to look at that sentence again and count the number of letter *f*'s.

Now, you all have different colors of paper, so you'll all have different answers. We expect that. How many people here saw two *f*'s? How many people saw three *f*'s? Four? Five? Six?

I want to let you know that everyone has exactly the same sentence. Go back and look at your sentence. There are six *f*'s on everyone's sheet. If you're having trouble finding all six, try reading the sentence backwards. If you're still having trouble, talk to your neighbor.

Okay, I'd like your theories as to why 75% of us saw three *f*'s.

(From the Audience): We ignore the little words. We pronounce the *f* in "of" as a *v*.

MR. HARRIS: Let me start with the first explanation. I can accept that you skipped over "of" the first time, but after you knew there were six *f*'s on your sheet and were still saying, "There are not six *f*'s," the speed-reading argument doesn't wash.

For the second explanation: you didn't know the purpose of this exercise when I asked you to read the sentence. So you developed an auditory paradigm of the sentence. Therefore, when your eye came to look at the sheet, even though your eye could physically see six *f*'s, your ear caused you to only see register three. Other theories?

(From the Audience): The sentence was awkward.

MR. HARRIS: And you were caught up in trying to figure out what it meant. We try to throw you off when we use this exercise; it's purposely awkward. So you were thinking about the meaning. Other theories?

(From the Audience): The beginning of the word is more important than the end.

MR. HARRIS: You're right. Why do you think that is? You're on to something here. Look at the first two words in the sentence.

(From the Audience): They alliterate.

MR. HARRIS: "Fundamentally first." In the beginning, with the first two words of that sentence, we're taught to look for *f* sounds at the start of the words.

(From the Audience): We only need to look at the first part of the word to get the meaning, so we ignore the end.

(From the Audience): I think some of us thought something was up here, so if we found one or two of those short words, we thought we had found them all.

MR. HARRIS: It took you roughly 15 seconds to read that sentence. Imagine, as a human being, we can be conditioned in 15 seconds to not see 50 percent of that which is right in front of our own eyes. Imagine you now have 40 years of experience in library science. Do you think there might be a certain conditioning going on there that would prevent you from seeing things certain ways?

When I give this exercise to Brazilian executives, they get all six *f*'s right away. I learned the first time. Why? Because in Portuguese *o-f* is pronounced "off." You see, they develop an auditory paradigm right away that allows them their success.

Paradigms are both our greatest security and our greatest weakness. Let's look at this idea of "ignore the little words."

Now, imagine you're the vice president of sales and marketing for a firm that is a market share leader.

> After just one year in the position, your sales have risen to the highest level ever, and you're justifiably proud. At this particular time, a tiny little competitor introduces a new product. But the product is a flop; it's panned in the media. Are you going to dedicate your R&D to it? No. And you're entirely justified because the product goes nowhere, whereas, by contrast, your sales continue to rise.
>
> You're featured on the cover of *Marketing* magazine as executive of the year. You're justifiably proud. At this time the little competitor introduces a new version of their product, but, again, it's a flop. There is a marginal response from customers, but ten percent of zero is still zero. Are you going to focus on it? No. And again you're justified: the product absolutely languishes, whereas your sales break records. You now enjoy 75 percent of worldwide market share. That's dominance.
>
> But, at this particular time the competitor introduces version three.

Do you know, this is a real life case study? You were VP of marketing for Lotus 1-2-3 for DOS, and the tiny little competitor was a company called Microsoft that introduced a product called Windows 1.0 and it was a dog. Windows 2.0 was a dog. Windows 3.0 began selling at a rate of a million copies a month, beyond even Microsoft's wildest dreams.

Once you realized the shift had happened, it was here. But then you began a two-and-a-half year development cycle to bring out a product for this new platform. Do you know what Microsoft did as soon as you had a good, operating spreadsheet?

(From the Audience): They hopscotched up.

MR. HARRIS: Right. And how did they do that? They said, "We're selling the product as a suite." In other words, a spreadsheet isn't enough. They produced a word processor , a visual graphic package, and a mail package, bundled it all together and sold it roughly for the price of your spreadsheet. As soon as Lotus thought they were all caught up, they were left behind again.

Do you know what the market share story is now? Ninety percent of all applications are sold through suites and 90% of suite sales are Microsoft. They've totally decimated their opposition by always reinventing themselves.

You see, when a paradigm shift happens, the results can be slow but staggering.

Now, why do I cite this case? In hindsight, history is entirely predictable. A researcher at Palo Alto once said, "The future is entirely predictable, but few people predict it." I actually believe the future is not predictable. But what I can tell you with absolute certainty is that, in ten or 20 years, library science won't look very much like it does today. I don't know what form it will take, but it will be different. So the challenge is, are we going to lead or lag behind?

It was somebody in a research institution who created the World Wide Web, and it was a researcher in Palo Alto working for Xerox who created the first graphical user interface. Researchers have led change. So all the challenges that you face can be met by what is resident within this room: the knowledge, the skills, and the attitude to overcome those challenges. How do we unlock that potential to thrive in this time of uncertainty?

I recently rushed out of the house and forgot to take any American currency—I was giving a talk down in the South—and so I only had Canadian cash. Now, I'd like you to think back to what banking was just ten years ago. It was Monday to Friday, 10:00 to 3:00, only at my local branch. But now, with the introduction of technology, banking is anywhere, anytime, any currency.

The technology doesn't make the relationship between the bank and the customer more efficient, it enables a radically new relationship to occur. And I ask the question: Who is doing the work? I, the customer, am doing the work at the automatic teller. I paid $1 U.S. for the honor and privilege of doing the work myself, and, you know, I was profoundly grateful to the institution for allowing me to do so. Furthermore, if I can now get money anywhere, anytime, any currency, why do I need travelers' cheques? I don't. A bank is now a competitor of a travelers cheque company; when a paradigm shift happens, it changes the very nature of competition.

I would argue that your competition is not other libraries. Your competition is companies like IBM developing things called "open text" and "Yahoo." Your competition is Marc Andreessen, who created something called Mosaic and now Netscape, with search engines embedded right in the software. That's kind of frightening, but it's also kind of exciting.

Our success, our survival, is based on being able to shift. What is the nature of our products? We need to differentiate between form and function. What is the need of the customer in your case? I can't answer that, but you can.

Why do libraries exist? What is your mission? What is your purpose? If you want the hallmark of an excellent mission, it's one that inspires us. It's ennobling. It lifts the spirit. It's one based on service to our communities and it's far larger than ourselves.

I can't tell you what your mission is, either as individuals, as a profession, or as an association. It's up to each of us to discover our mission. But we need to have a mission; we need to have a sense of purpose which will direct us in our affairs. It's an empowering, liberating way of looking at life.

Thank you so much. I look forward to your questions.

QUESTION AND ANSWER SESSION

MS. TAYLOR (Brown University): Thank you for such an inspirational presentation. A number of us here are managing in unionized environments. In my own situation, I work with a labor union that is extremely conservative and that tends to respond to a lot of change with the comment, "That's not in my job description," or, "There's no past precedent for doing it that way." We are trying to look at things differently and cooperate with our union staff, and I think the will is there with some people. I'm interested in what you have to say about working in that kind of environment.

MR. HARRIS: Well, I have a couple answers. First, Rosabeth Moss Kanter said, "To be successful in the future, companies will need to have the four *f*s: fast, flexible, focused, and friendly."

Second, I would like to present you with a metaphor. The old metaphor was of the supertanker: a command and control structure, with one captain on the bridge and everyone else carrying out the orders. But imagine a supertanker of 100,000 tons going at 30 knots through the ocean. Peter Senge, in his book *Fifth Discipline*, asks, "The captain gives the order to turn the ship around 180 degrees. Who has the most power in this situation, the captain who gives the order, the engineer in the boiler room who's working the engines, or the chap at the helm who actually turns the wheel?" Senge's answer, "The architect of the ship."

You see, it's the architecture of the organization that determines performance. Instead of having 100,000 tons on one supertanker, let's imagine 100 small ships working as a fleet, each carrying 1,000 tons. Which of the two organizations meet Rosabeth Moss Kanter's criteria? Which is faster? The smaller ones. Which is more flexible? The smaller ones.

These paradigm shifts aren't either/or. We're not going to throw out our mainframes, but how are we going to marry the mainframe with the micro? How do we preserve the library of history and yet create the library of the future? These are the challenges.

The key difference between these two structures is that this one requires an infinite amount of communication. I enjoyed Dr. Strangway's definition this morning of communication as that which binds a chaotic organization together. Everyone can take their own direction, but they will not be effective as a group if they do that.

Back to the question of unionization. Which structure has greater potential in unleashing and fulfilling individual growth? Being a hired hand, or learning about responsibility, risk, trial, and reward of the market? Which one will allow people to develop, like Mazlow's hierarchy of needs, to their full potential, to actualize? The second.

Unions have typically thought that their security lay in rigid job structures. That was in the past, when the future was quite predictable and industries were quite stable. But today that no longer works: the more rigidly I stick to my current job description, the more insecure I become. Yet unions are in the business, in theory, of creating security for their members. So now we're getting into the learning paradox. I argue that everything that used to create security now creates the opposite. Now, the more power you give away, paradoxically, the more power you have. Everybody must know the mission; everybody must know the vision. If you have a hundred powerful people, that makes you a more powerful individual because you have a lot of horsepower under your organization.

Our security today, I argue, is based on only three things: our ability to learn, our ability to change, and our ability to accept or live happily amid uncertainty. The paradox is that what we fear most as adults is learning, changing, and uncertainty. Our security in the future is based increasingly on what we fear most.

I challenge you to think of a time in your life when you were most proud of your accomplishment. Upon reflection, I think you will find it's where you came across some challenge you didn't know how to overcome and through perseverance, hard work, positive mental attitude, talking to your friends, a little bit of reading, informal networking, you overcame that obstacle.

The demographics of our countries—and it's even more pronounced in Canada than in the U.S.—indicate that there is no longer any upward promotion. So organizations, to meet the challenge needs of the person, have to move the individuals laterally. The ladder has given way to the spiral. Before you go up a level, you have to go sideways four. But it means that, if I ever get laid off as an employee, I have not only four sets of skills which make me four times more marketable, but, more importantly, I know how to learn. That's my security, not the job title.

Find their interest, open the world to them. If we can explain that to our union members and frame it such that this is their security, not a threat, you can open a whole new world.

MS. PRESSER: On behalf of the Association, thank you, Jim, for giving us some things to think about in a different way.

It only remains for me to call the session to an end. Thank you very much.

LUNCHEON SESSION
GOVERNMENT RELATIONS UPDATE

INTRODUCTION

James G. Neal, Eisenhower Library Director
Johns Hopkins University

I would like to welcome everyone to the Government Relations Update Luncheon. Our goal at this luncheon is to provide an update on the status of fair use and copyright protection, particularly as it affects higher education. This information is particularly relevant today in the wake of the recent U.S. court decision on coursepacks and the status of license negotiations between Canadian universities and CANCOPY.

We have invited two very distinguished colleagues, Susan Kornfield and Graham Hill, to be our speakers this session.

Susan Kornfield is a partner in the law firm of Bodman, Longley, and Dahling and is head of their intellectual property practice group. She is also, importantly, the lead attorney in the Michigan Document Services coursepack case. She has recently accepted a position as adjunct professor of copyright law at the University of Michigan law school in Ann Arbor. Ms. Kornfield received her undergraduate degree from the University of Michigan and her J.D. from the Indiana University School of Law, where she graduated with honors.

Our second speaker, Graham Hill, certainly needs no introduction to this group. Our colleague has been University Librarian at McMaster University since 1979. He served on the Board of Directors at the Canadian Association of Research Libraries for many years, and was its president from 1985 to 1987. He has also served on the ARL Board of Directors from 1983 to 1986.

He has been closely involved with Canadian copyright issues over the past decade and has been a member of the Canadian Government's consultative committee on the library use of copyrighted materials. Indeed, he is negotiating the first renewal of the Canadian universities' model blanket license with CANCOPY (the Canadian Copyright Licensing Agency).

So we have two people who are clearly on the cutting edge of two very important issues, and I hope that you will join me in welcoming them to this luncheon.

THE FACTS AND ISSUES IN THE MICHIGAN DOCUMENT SERVICES CASE

Susan Kornfield, J.D.
Bodman, Longley, and Dahling

Before I begin, I want to talk about two things with respect to the Michigan Document Services (MDS) case *Princeton University Press v. Michigan Document Services, Inc.* The first is to tell you with profound gratitude how very much we appreciate ARL signing on to the amicus brief submitted by a group of 11 copyright scholars in November 1994. I want you to know that the amicus brief ARL signed helped lead to our victory in the Sixth Circuit courts—a first for anyone advocating the position that we did. You deserve a part of the credit for the judges' decision that using excerpts from books was an example of fair use.

Second, I want to talk about the horrendous reporting of this case in the news. In my opinion, there have been about five articles written about it that are worth reading: one by Ken Crews (see Addendum B), a couple by the *Chronicle of Higher Education*, and two by student newspapers. Everyone else seems out of their league—they have even claimed that the court ignored copyright law. So you see, we have people reporting on these cases not knowing what the term "fair use" means. They actually believe it is something outside the law.

Let me tell you a bit about the case. I am sure that when you hear the facts you will probably get a better idea of why, on February 12, 1996, the Sixth Circuit ruled in a split decision that my client, MDS, could make photocopies of excerpts when students and professors were able to make individual copies of the same material.

First of all, I thought you might be interested to know how the Association of American Publishers (AAP) decided to sue Jim Smith—a small business owner from Ann Arbor, Michigan. I want you to understand why they are going after Jim and why the attack is such a personal one.

In March 1991, the Southern District of New York ruled in the *Kinko's* case that it was unlawful for Kinko's to reproduce and combine excerpts of books into a coursepack to sell to students. I really think that the AAP sent a little note to copy shops around the country within 24 hours of the ruling, saying that this was now the law. I say this because I haven't seen any other case where a district court ruling had the impact of a Supreme Court decision. But then maybe that is just New York.

When my client received a copy of the ruling, he read it and said, "Gee, if this is really the law, I'm going to have to stop doing what I do—or at least start doing it differently." So he decided to do a little research. He spent the next four months at the University of Michigan law library reading copyright cases—including the *Kinko's* ruling—and talking with judges. He hired a copyright lawyer and spent a lot of time talking to members of the National Association of Quick Printers, or the NAQP. He came to the conclusion that the *Kinko's s* ruling was wrong.

Later that summer Jim Smith was invited to a NAQP conference in Washington, D.C. to talk about the *Kinko's* case, which, of course, had such a large impact on the quick-print industry. At first Jim wasn't too sure he wanted to stand in front of a whole room full of people and tell them he thought the Southern District Court in New York was wrong. But, after some thought, he decided to go through with it. A few months later, the AAP sued him for copyright violation.

Not only was he sued, but he was also targeted for AAP attacks. For instance, in a letter they wrote to the editor of—I believe—the *Chronicle of Higher Education*, they called Jim a "looter" because he reproduced excerpts of books at the request of professors and then copied them for students. But they didn't stop there. I have in front of me copies of letters to the editor of *Lingua Franca*, which published an article by David Stow about the frustrations scholars face trying to jump through the permission hoops and the problems this conferred upon their pursuit of scholarship. After the publication of this article, Sanford Thatcher, from the Penn State University Press and Chair of the Copyright Committee of the Association of American University Presses, wrote *Lingua Franca* to say that MDS was nothing more than a parasitic publisher free-riding on the labor of others.

As you can see, people are quite passionate about this issue. And it all started when three professors from the University of Michigan decided to assign a variety of excerpts from books, articles, and other reading materials. After they made these decisions, they brought their materials to MDS and asked Jim Smith to make copies for their students, which, of course, he did. The students then came and picked up the materials. No excerpts were sold to the public. Jim was simply providing a service to the professors, who could easily have made the copies themselves.

In this particular case, had the professors decided not to send the materials to a copy shop, they could have put them on reserve at the university library, where students could have checked them out and made copies. The fee at the library is ten cents per page; Jim Smith charges five cents per page. So the excerpts would be copied either way: the students could either pay a dime a page at the library or a nickel a page at MDS.

You probably heard that the District Court judge ruled against my client. From the moment we walked into the courtroom, the judge seemed to agree that Jim was a parasitic publisher. He even stated, at one point, "He [Jim Smith] is using other people's property without their permission. There is simply no excuse for this conduct." The judge apparently hadn't read Section 107 of the copyright law closely, as it addresses the issue of making multiple copies for classroom use.

Now I want to tell you a bit about the oral argument from September 1995 in the Sixth Circuit Court. I want to read you a couple of lines from the oral argument so you can hear what the judges said as they tried to understand the case. The judge I refer to first is Judge McKay, who was what is called a visiting judge. He is the Chief Judge of the Tenth Circuit, but was sitting on the Sixth Circuit panel for this particular case. The other two judges are Judge Ryan, who wrote the majority opinion, and Judge Nelson, who wrote the partial concurrence.

This is Judge McKay addressing the AAP counsel, a Mr. Rauchberg.

JUDGE: Counsel, let me ask you a sequence of questions. Do you dispute that a professor could copy this material as it is on a rented copy machine rented from Xerox?
MR. RAUCHBERG: I don't think that question can be answered in this case.
JUDGE: I want the answer to it.
MR. RAUCHBERG: Well, the publishers have not—I understand Your Honor wants the answer and—
JUDGE: Are you arguing that this—there's something about this material that would prevent a professor from copying it without violating the copyright laws?
MR. RAUCHBERG: If the question is could a professor produce a book like this or could a university prepare a book like this and sell it to students in the same way that Michigan Document Services does, I would point out that it may well be that the answer is no. There are classroom guidelines that were adopted by Congress as a part of the legislative history of the Copyright Act and that express what Congress said is the Congressional intent in defining the extent of fair use copying for purposes of education, that describe how far a....
JUDGE: Have you asserted in the trial court or in your brief here that this material is material that the university—that a professor could not duplicate on a rented copy machine in the professor's office?
MR. RAUCHBERG: No, Your Honor, we have not made that argument.
JUDGE: All right. Now, have you disputed that the professor could make multiple copies and distribute them to the students in the class?
MR. RAUCHBERG: We have not made that argument, either.
JUDGE: You have not made that argument. Do you make that argument now?

MR. RAUCHBERG: No, Your Honor. The argument that —
JUDGE: Could the professor—have you made the argument that the professor could not charge the students the per page rental cost of the machine? In other words, if the rental is on a per page basis for the copy machine, that the professor could not charge the students the reimbursement of that cost of duplicating these exact materials?
MR. RAUCHBERG: We have not made that argument.

The judges later determine from cross-examining Mr. Rauchberg that the publishers in this case do not argue that the professors could not have made the copies themselves. They do not argue that the students could not have made the copies themselves. They do not argue that the professors could not have made the copies and then charged the students for them. And they do not argue that students could not have paid a dime per page at the library.

So what is this case all about? It is about whether Jim Smith can make the copies and charge students a nickel per page for them. This is the *only* thing the MDS case is about. Why? Because in every case the issues to be decided are determined by the framework of the facts and by the arguments made by counsel. The AAP has waived any claim to say that too much of the work was excerpted because at several points during oral argument they clearly stated that they were not making that argument.

So when you read in the papers, as I'm sure you will, that this case will make it possible for anyone to copy over 30 percent of a book—or anything else they damn well please—as long as they say it's for education, you will know the papers are wrong.

Now let me tell you a bit about how the issues are being framed for the re-hearing. By the way, a re-hearing is a very unusual procedure. Of the thousand cases the Sixth Circuit hears annually, they re-hear only eight. Typically, courts hold re-hearings to reverse panel decisions. But ours is a rather unusual case: these judges know there has never been a case like this argued in any Court of Appeals in the history of U.S. copyright litigation. This case may well go to the Supreme Court, and they know it.

They also know that the last time they decided a fair use case their decision was overturned by the Supreme Court. In fact, the decision was reversed on five separate grounds. So they may feel a need to look more closely at this case; the judges want to be sure that the panel was correct the first time.

The publishers have raised three issues on appeal. First, that the court should not have considered the professors and the students in this case. They say the professors and students are irrelevant in this case, which, as you remember, is all about copies assigned by professors for use by students. Yet the publishers insist these groups are irrelevant.

What the publishers evidently want to do is to tell the federal courts, "You will not look at users unless we sue them. Your analysis of a fair use case will be dictated by the defendant, not the users." The court needs to decide if this is true.

The first issue the court will have to consider when making this decision is what it means to use an excerpt. Do you use an excerpt when you make a copy of it? Or do you use an excerpt when you read, analyze, and discuss it?

Obviously, in this case we contend the latter. The works are used by professors and students. They select them, they read them, and they analyze them. My client, the copy shop, only makes copies of the works. Let me give you an example. Say I have a brief to file in court and I need 25 copies of it. I collect the material I have written and all the attachments and I walk down the street and give it to a copy shop. I don't think anyone would contend that the copy shop has sold me 25 briefs when I later go to pick them up. They have simply copied the brief 25 times, charging me a per page copy cost. They do not use the brief—they copy it.

Next, the court must consider the relevance of classroom guidelines. It never occurred to me when I was in law school—or even afterwards—that I would ever stand in a federal court and say, "Let's talk about the law." The law is what Congress enacts. The law is what the Supreme Court rules. The law is set by the Constitution, by statutes, and by controlling case law. What the law is *not* is some gentleman's agreement reached in 1976 to create a safe harbor for educators. I think most lawyers would say a law must be enacted by legislation. There are many Supreme Court cases that discuss the legislative history of a particular statute. There is also a great deal of case law that says, "Say you have a group of guidelines here and statutory language here. If you choose to enact this, it means that you have also chosen *not* to enact that." This is another important fight in this case.

The third issue in this case is whether publishers can show economic injury as a result of copy shops charging for the copying of excerpts. This is actually a very interesting question.

If you look at Supreme Court cases dealing with the fair use statute, and specifically the fourth fair use factor in the statute, you would see that the Court says there are two copyright markets: one for the original work and the second for derivative works. The phrase "derivative works" is defined in the Copyright Act as "a new work that is created by adding new authorship and transforming the original authorship into a different work." Examples of derivative works are: foreign translations, movie versions of books, serialization rights, etc. The MDS case is not one involving derivative works. The excerpt that was copied was copied intact; my client didn't translate it, and he didn't make a movie based on it. He didn't alter it in any way. He copied it.

The only contentious issue in this case is the use of excerpts by both the professors and the students. Since the publishers concede they cannot prove one lost book sale, we have won the fourth factor analysis in this case.

Interestingly, although the publishers have agreed that they cannot prove one lost book sale, they do agree that we have 350 affidavits on file by individuals who state that as a result of reading excerpts (what a surprise) they sometimes buy the books from which the material was originally excerpted. They buy more books by that author. They buy more books on that topic. So allowing excerpts to be copied actually increases book sales.

Finally, we have about 160 authors and professors who signed affidavits stating that they find it an incentive to create new works when their books, when not assigned for purchase, are excerpted for students.

So all of the evidence in this case points in one direction: allowing book excerpts to be copied benefits students, professors, publishers, and authors. Moreover, there is absolutely no harm done to the market for the original work.

Of course, when the publishers lost this case, a couple of publishing groups and authors guild groups wrote briefs saying, in effect, "We want as much money as possible from the works we create. We want the courts to make anyone who uses anything we write pay us for it." The only problem with this demand is that it is inconsistent with the law.

I want to remind you of one other point. The speaker this morning, Mr. Harris, was talking about learning and change and uncertainty. I know that many of you in the room negotiate from time to time with other groups about use rights, and I know there is a great desire to bring some certainty to the area of fair use instead of balancing these four factors. What I want to say to you is this: although the classroom guidelines state that they are a safe harbor for educators and that they do not in any way minimize the fair use rights in Section 107 of the Copyright Act, it just isn't so.

In court, counsel for the AAP informed the court that the classroom guidelines were adopted by Congress—I'm not sure what this means; Congress enacts laws—and that they were the extent of fair use. This means that if you want lawyers to have a chance in court, you must stop signing onto guidelines that will be used to limit the rights of users. Because those people on the other side of the table never use them the way they tell you they will. Instead, they stand in court and say, "This is the extent of fair use. Look at all the prestigious groups that agree with us."

But I want to tell you that, after many years of hard work, our last brief is being filed today with the Sixth Circuit Court of Appeals. Oral argument for the re-hearing will be June 12th.

I want to end with a plea. I know your constituents want certainty. But, please beware trading uncertainty for a limitation of your rights. We can only be this lucky so many times.

Thank you.

QUESTION AND ANSWER SESSION: MS. KORNFIELD

MR. WEBSTER (ARL Executive Director): I think it would be useful for Susan to comment a bit more on the *Kinko's* case. She talked a little last night at dinner about her assessment of the hypothetical Supreme Court treatment of that case—it never got that far—and how we should view it from the users' point of view.

MS. KORNFIELD: I wanted to have a chance to tell you about the *Kinko's* case and the appeal that was lodged with the Court of Appeals in the Second Circuit and was later dropped (we don't have a further ruling on the *Kinko's* case).

Let me tell you why the Supreme Court, in 1991, would have reversed the *Kinko's* decision on four different grounds. The Court dealt with these four issues in a 1994 case, *Campbell v Acuff Rose*, which involved the 2 Live Crew rap parody version of the Roy Orbison song *Pretty Woman*. You will see how these two cases are closely connected.

First, the *Kinko's* court said, "Every commercial use is presumptively an unfair exploitation of the copyrighted work." This meant that the users had a presumption against them coming into court, and that they would have to provide a great deal of evidence to either neutralize that presumption or to overcome it.

In the *Campbell* case the Supreme Court said, "We have here 2 Live Crew who have made a commercial use of the Roy Orbison song." And the Sixth Circuit (which is, incidentally, the same court that decided the MDS case) said, "One of the reasons we know it's an infringement is it was a commercial use. And, as we all know, every commercial use is presumptively an unfair use."

The Supreme Court's response was, "We have no idea where you got that language. Every commercial use is *not* presumptively an unfair use. In fact, there is no presumption against commercial use."

So the first lesson of the *Kinko's* case is: the Sixth Circuit's ruling on commercial use was a reversible error. We know this is so because the Supreme Court said so in the *Campbell* case, three years later.

The second lesson of the *Kinko's* case is that the District Court judge said that, in order to claim fair use, you must transform the original work. You can't merely have copied it. In the *Campbell* case, the Supreme Court dealt with the fact that 2 Live Crew, in creating a rap version, had indeed transformed the original work. The Court considered the transaction to possess intrinsic value because it created another work for the public to listen to and read and discuss. Then the Supreme Court dropped a footnote, the famous footnote 11, which states the obvious: "Statutory exception to any focus on transformative use is the straight reproduction of multiple copies for classroom use."

So we have the Supreme Court saying, basically, that only an idiot would equate transformative use and making multiple copies for classroom use. Of course, the *Kinko's* court said the fact that Kinko's was making copies counted against them in court.

Third, the Supreme Court surely would have reversed the *Kinko's* ruling on the basis of the following faulty logic: the *Kinko's* court said, "Let's look at what the professors picked. Now, they wouldn't have picked that unless it was the most important part. And since it was the most important part, it will always weigh against fair use." So the *Kinko's* court said that whatever the professor selected would always be the heart of the work. You can't use the heart of the work. Here again was another strike against Kinko's, and against fair use.

The Supreme Court said, in the *Campbell* case, that you must first look at how much of the original material was used in relation to the purpose for which it was selected. The Court recognized that, since the purpose in this case was parody, 2 Live Crew had to use the underlying melody, the arrangement, and the same kind of base rhythm. In our particular case, the MDS case, the uncontradicted testimony of the professors is they only use as much as necessary for the specific teaching purpose. The publishers chose not to contest that.

Finally, the *Kinko's* court said that you can look for economic injury to the licensing revenue the publishers say they would have gotten if they had been paid what they had asked. That is something the Sixth Circuit properly regarded as circular; what we are trying to figure out is if a fee can be demanded for that use. The fact that the publishers want the fee doesn't help us to figure that out. So we have to take away from this equation the fact that you are demanding the payment, and instead we have to look to see if they are entitled to be paid before we can determine whether or not they are injured by not receiving payment. The Supreme Court said you may not consider licensing revenue for the claimed fair use. So the fact that we are claiming the making of multiple copies for classroom use an example of fair use means that the publishers may not claim revenues for that market.

Clearly, had the *Kinko's* case gone to the Supreme Court it would have been reversed on these four grounds, just as the *Campbell* case was.

MR. FRAZIER (University of Wisconsin): How do we get to a point where the public perceives that fair use is not outside the law—and that classroom guidelines are?

MS. KORNFIELD: I think it's fair to say that the misunderstanding stems from those handy printouts disseminated by the AAP, which we know is not exactly an impartial group.

I have a little story to tell you. About two years ago I received a memo from a friend at the University of Michigan School of Business. It said, "Thought you might be interested in the attached." It was a letter from the Dean of the University of Michigan Business School to the faculty, discussing the use of coursepacks. What do you think the dean had attached to that letter? A little publication by the AAP that listed classroom guidelines.

So, of course, I called the Dean's office, introduced myself, and asked if we could get together to talk about copyright law. I was referred to his assistant, who basically said that it was easier to attach the AAP's handy little summaries than to actually work to understand copyright law.

So, I believe one reason for the public's misunderstanding is that fair users really don't have vocal advocates of their position working to educate the public on what fair use really is.

I think the other problem is that people do not understand that fair use is a part of copyright law. If they do, they do not understand *why* it is a part of copyright law. They think it's some kind of sanctioned theft. They don't realize that fair use furthers dissemination of information, the publication and purchase of works, and that it creates an incentive to produce more works. This really lies at the heart of fair use.

Perhaps we should consider a public education campaign on fair use issues.

MR. FRAZIER: Classroom and other guidelines actually say they are the minimum definition of fair use. Are you opposed to guidelines even when this type of language is included?

MS. KORNFIELD: I am, but only because of this case. Let me tell you why. I live in Ann Arbor, Michigan. I have friends in the University of Michigan's Office of the General Counsel, and I can tell you that I have never seen a group of people more opposed to taking risks than university administrators. I don't mean that in an unkind way; I know their butts will be on the line if they get the university involved in a lawsuit. But as a result of their aversion to risks, they say, "Okay, the publishers *won't* sue us on this. Let's just do that; it's so much easier."

As a result, the very people whose mission it is to foster the dissemination of information are afraid of the consequences of doing so. Again, I understand that, but I think universities should not have to conform to the publishers' idea of what is safe.

Actually, I have told many university counsels that they should become more active in backing their professors. Universities should tell professors not to sign contracts that divest them of their copyright privileges and they should tell the publishers, "If you even touch our professors, we're going to yank your books off of the reading lists." In other words, you have to get the universities to understand that this doesn't have to be a win-lose situation unless, of course, they let the publishers set the limits of their rights.

MR. KOBULNICKY (University of Connecticut): One of the things I've noticed is a growing opposition on our campuses to our perspective because of bookstores that have demonstrated that they can use permissions effectively.

I don't know if there is a response, but I'm concerned because, where the universities once might have been able to speak with one voice on this issue, they cannot do so today. The bookstores say that a permission profit model is possible, and effective.

MS. KORNFIELD: I have two responses. One is factual and one is philosophical. As a factual matter, we have several hundred affidavits on file saying the current system doesn't work. We have professors saying they have chosen to go without making articles available to students because the permission was too expensive. As a factual matter, I think it's fair to say—as we did in our brief—"Judge, if you consider permission systems relevant, you must recognize the fact that in this record there is conflicting evidence as to whether it is in fact operative and workable."

The other point is philosophical. I could tell you that you can speak your mind any time you want—it will just cost you five cents a day. I'll even give you a self-addressed, stamped envelope for Susan Kornfield in Ann Arbor, Michigan. I'll let you pay in advance. But, of course, the point is that it's illegal for me to assess that charge, just as it is illegal for publishers to be assessing permission fees. Congress has spoken on this point, and they have listed six kinds of uses that are typically—but not always—fair uses: criticism, comment, news reporting, teaching (including multiple copies for classroom use), scholarship, and research. It is unlawful to assess fees for these uses.

I also don't think bookstores and copy shops should serve as collection devices for publishers.

MS. STOFFLE (University of Arizona): I would just like to reinforce what Paul said. I was doing a presentation before the National Association of College Stores, NACS, the day the Michigan case was announced. I was very excited about the ruling, and I remember saying, "Isn't this wonderful?" But everyone there thought it was the most awful thing ever to happen. The college stores people are on the opposite side of this issue. I think we need to do something about that on our campuses.

MS. MARTIN (Georgetown University): How do you apply fair use within the electronic environment, where the resource is not locally owned, where you don't purchase it, where you're accessing a database that is held by the publisher or producer?

MS. KORNFIELD: Unfortunately, I think you have to go through the same analysis every time you want to make such a use. You have to first question, "What is the use for this material?" You have to ask yourself, "Is it just general societal dissemination of information? Or is it for criticism, comment, news reporting, teaching, etc.?"

Next, you should ask yourself how you can prove to a court that you took the necessary safeguards to prevent general public access, assuming your goal was to make the material accessible to students, which is what Congress said was meant by multiple copies for classroom use.

So one of the questions we would have for you is, "Can you show us technologically that you have taken steps to make the material available to the students of this class?" You would also have to ask yourself, "How will this weigh on the other factors? Is it going to replace the purchase of an underlying work? If so, is that work out of print?" The Supreme Court said, in *Harper v. Roe*, that you have a greater right to make use of something that is inaccessible, out of print, or otherwise unavailable. Of course, what the publishers say now is, "Well, sometimes we would like those things to be out of print and unavailable because, as the copyright owners, we get to decide what is available and we might want it unavailable. And we certainly don't want you making it available."

So, the fair use analysis requires you to go through all of those steps. I do think that the judges are concerned about the electronic environment because of the hysteria created by copyright owners. But when the court evaluates these cases on an individual basis, they arrive at different conclusions than the guidelines would dictate. Who would have imagined that videotaping an entire creative work would be an example of fair use? But the Supreme Court ruled in a 1985 5-4 decision exactly that. And two years ago it said parodying a musical work is also fair use.

I think what all this means is that when you take these cases to the Supreme Court they usually get it right. I hope this happens to our case.

MR. CAMPBELL (University of Southern California): If we could demonstrate that the AAP had deliberately misinformed us about the provisions of the law, and that this, in turn, had retarded our business, would we be able to bring a class action suit?

MS. KORNFIELD: Since this woman over here is taking notes, I'll only say this: I was contacted not long ago by somebody who asked whether we would look into anti-trust violations and unfair trade practices. I'm sorry, but that is all I can say on this particular issue.

Note: In response to a request from ARL, Ms. Kornfield supplied a copy of the pages of the court transcript in which counsel for the publishers addresses classroom guidelines, and the response of the Michigan Document Services, Inc., rejecting the publisher assertions (see Addendum A). See Addendum B for the Ken Crews paper, "The *MDS* Decision and Fair Use for Coursepacks." See Addendum C for an update on the MDS case.

ADDENDUM A

MEMORANDUM

TO: Mary Jackson, ARL — By Facsimile

FROM: Susan M. Kornfield
Bodman, Longley & Dahling LLP

DATE: May 19, 1996

RE: Publishers' Misstatements Regarding Classroom Guidelines;
Response of Michigan Document Services, Inc.

cc Jaia Barrett, ARL — By Facsimile

Per your request, I attach the pages of the transcript of the oral argument in the MDS case (September 15, 1995) in which counsel for the publishers (also counsel for the AAP, the organization that has admitted to directing and funding this litigation against MDS and Jim Smith) advises the three-judge panel of the Sixth Circuit that Congress "adopted" the classroom guidelines and that the guidelines are the "extent" of educational fair use.

I also reprint the pages from the supplemental brief of MDS, filed May 17, 1996 with the Sixth Circuit, in which we respond to those assertions and in which we reject the argument that the third statutory factor in a fair use analysis (the "amount and substantiality") can ever be analyzed using bright lines or page counting.

Please call if you have any questions.

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at 564. Additionally, because fair use favors access, the scope of the fair use right is greater if the work is inaccessible. Id. at 553. ("If the work is 'out of print' and unavailable for purchase through normal channels, the user may have more justification for reproducing it."). Two of the works were taken out of print by plaintiff MacMillan (Hearing TR 66, 76-77, JA 3760, 3770-71).

Thus, in light of the considerations of the historical, analytical, and factual nature of the works, none of them being unpublished, and two of them being unavailable for purchase, the second factor favors MDS.

VI. A QUANTITATIVE AND QUALITATIVE ANALYSIS CANNOT BE SIMPLIFIED WITH BRIGHT LINE RULES, PAGE-COUNTING, OR PERCENTAGES.

A. The Amount Used Was Reasonable. The Supreme Court Rejects Any Attempt to Use Formulas to Analyze the Third Factor.

The third statutory factor examines the amount and substantiality of the work used. The analysis of this factor is set forth in Campbell, 114 S.Ct. 1164. First, a court must refer back to the first statutory factor, because the extent of permissible copying varies with the purpose and character of the use, id. at 1175, and the extent of permissible copying may even include using the "heart" of a work. Id. at 1175-77. Second, where the use is a type that the courts have typically found to be fair, a greater amount of the copyrighted work can be used and be fair. See id. Third, this factor must be analyzed without reference to any rigid formula, because "the [t]ask is not to be simplified with bright-line rules, for the statute, like the doctrine it recognizes, calls for case-by-case analysis." Id. at 1170. The Court "emphasized the need for a 'sensitive balancing of interests'" and "noted that Congress has 'eschewed a rigid,

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bright-line approach to fair use' .... " Id. at 1174 (quoting Sony, 464 U.S. at 455 n.40, 449 n.31).

In this case, only so much was copied as was necessary for the purpose for which they were used -- teaching (R.61 Ex.A, Decl. Dawson ¶4, Lieberman ¶5, Kinder ¶3, JA 1233, 1238-39, 1252) -- and there was no "heart" of these educational works. Id. The excerpts were "truly 'excerpts,' and do not purport to be replacements for the original works." (R.100 Order p.9, JA 3077). Indeed, the publishers have lost no book sales.

The district court erred in analyzing the third factor by creating a new standard for "amount and substantiality" and by disregarding the facts in the record. The court concluded that MDS copied too much because the excerpts chosen by the professors were "not insubstantial or incidental," (R.100 Order p.9, JA 3077),[13] criteria based upon a property view of copyright and found nowhere in the law. The court did not engage in a "sensitive balancing," or a "rule of reason."

B. The Court Should Apply What Congress Enacted.

While the publishers do not contend that too much of any work was excerpted by the professors or used by the students (Ex.A, 18-19), they contend that MDS copied "too much" when it made the copies requested by the users. Their sole support is the legislative history of the Copyright Act, not the Act itself. Their contention is fatally flawed for several reasons. First, legislative history may not be used to amend the plain language of a statute. Second, the legislative history of the Copyright Act, if it were to be used by the Court, only supports MDS's position in this case. Third, the classroom guidelines were created as a limitation on the rights of publishers to sue educators, they were not created as a limitation upon fair use. Fourth, the guidelines contain restrictions inconsistent with fair use adjudication.

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[13] The largest excerpt copied was 20% of the work. Plaintiffs claim that MDS copied "30%" of the work by Ms. Weiss, but improperly included in their figure pages in which they do not own copyright (pages of public domain data, a two-page poem by Langston Hughes, photographs, cartoons, direct quotations, and substantial paraphrasing of third-party materials). (See R.41 Weiss excerpt, JA 381-428). This "20% vs. 30%" debate shows the danger of the page-counting approach of the publishers, instead of the Supreme Court approach: examining the amount used in relation to the purpose of the use. Campbell, 114 S.Ct. at 1175.

As the panel recognized (Op. 10), a court "may not permit the statutory text enacted by both Houses of Congress 'to be expanded or contracted by the statements of individual legislators or committees during the course of the enactment process.' West Virginia Univ. Hosps., Inc. v. Casey, 499 U.S. 83, 98-99, 111 S.Ct. 1138 (1991)."

> "[A] committee report cannot serve as an independent statutory source having the force of law. . . .
>
> > '[I]t [is] plainly wrong as a general matter ... to regard committee reports as drafted more meticulously and as reflecting the congressional will more accurately than the statutory text itself. Committee reports, we remind, do not embody the law. Congress, as Judge [now Justice] Scalia recently noted, votes on the statutory words, not on different expressions packaged in committee reports.'"
>
> International Bhd. of Elec. Workers v. NLRB, 814 F.2d 697, 712 (D.C. Cir. 1987) (emphasis original) (footnotes and citations omitted).

The fact that Congress did not enact a portion of the legislative history "'strongly militates against a judgment that Congress intended a result that it expressly declined to enact.'" Id. at 711 (quoting Gulf Oil Corp. v. Copp Paving Co., 419 U.S. 186, 200, 95 S.Ct. 392, 401 (1974)).

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C. Congress Valued Fair Use as One of the Most Important Limitations on the Rights of Copyright Holders and Chose Not to Enact Any Page-Counting Rules.

To the extent the Court considers legislative history relevant to this case, a full review of the legislative history reveals four significant themes. First, Congress placed a high value on fair use as "one of the most important and well-established limitations on the exclusive right of copyright owners." H.R. Rep. No. 1476, 94th Cong., 2d Sess. p.65 (1976) reprinted in 1976 U.S.C.C.A.N. 5659, 5679-80. Second, Congress declared that the codification of fair use did not narrow fair use in any way. Id. at 66. Third, Congress retained for the courts a flexible approach to a fair use analysis, describing fair use as "an equitable rule of reason [where] no generally applicable definition is possible, and each case raising the question must be decided on its own facts," id. at 65, and stating:

> "[b]eyond a very broad statutory explanation of what fair use is and some of the criteria applicable to it, the courts must be free to adapt the doctrine to particular situations on a case-by-case basis." Id. at 66.

Congress concluded that "the endless variety of situations and combinations of circumstances that can arise in particular cases preclude the formulation of exact rules in the statute," id., and refused to enact any page-counting, word-counting, or any specific limitation upon the amount and substantiality used. Fourth, Congress said that the phrase "multiple copies for classroom use" in §107 meant "multiple copies for members of a class" and contemplated the use of photocopy technology. Id. The specific wording of §107 was the result of a long series of debates and "a process of accretion." Id. at 66. Thus, if the legislative history is the voice of Congress, it resoundingly supports MDS.

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D. The Guidelines Limit the Rights of Publishers. If Used as Anything Other Than as a Safe Harbor, They Are Unlawful.

The guidelines relied upon by the publishers were drawn up by an ad hoc group of industry representatives to provide "greater protection for teachers" from lawsuits by publishers. H.R. Rep. p.72 (1976). The guidelines identify circumstances under which educators will not be sued -- a safe harbor. Id. at 67, 72. Representatives of the American Association of University Professors and the American Association of Law Schools strongly objected to including the guidelines in the committee report, fearing they would be read as a limitation upon fair use. Id. at 72. The committee reassured educators that the guidelines were only a minimum standard of fair use, and that uses could fall outside the rigid criteria of the guidelines and be fair. Id. With these express caveats, the safe harbor guidelines were included in the committee's report.[14]

Consistent with their limited purpose, the guidelines themselves state that they are "not intended to limit the types of copying permitted under the standards of fair use." Id. at 68. They limit the rights of publishers to sue educators. They are thus not relevant to this case.

While both the committee report and the guidelines themselves state that the guidelines are only a minimum standard of educational fair use, the publishers interpret the word "minimum" to mean "the extent of fair use for purposes of education."

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[14] August W. Steinhilber, a member of the ad hoc committee that negotiated the guidelines, testified that the publishers are attempting to use the guidelines to limit fair use -- contrary to the purpose for which they were created, which was as a safe harbor for educators. (R.54 Steinhilber Decl., JA 1077-81).

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(Ex.A., 18). That statement, false as a matter of law and legislative history, was appropriately disregarded by the panel.[15]

If used as anything other than a "safe harbor," the limitations in the guidelines are inconsistent with the Copyright Act. For example, where both Congress and the Supreme Court have rejected any bright-line, word-counting approach, the guidelines specify 250 words here, 1000 words there, as the measurement of use within the "safe harbor." The guidelines contain arbitrary provisions penalizing professors who plan their lessons ahead of time (because "spontaneity" is a requirement of the guidelines), who use the same selection twice, or who hand out materials that are bound together for convenience. Nothing in the Copyright Act, the legislative history, or Supreme Court case law makes these considerations relevant to fair use.[16]

Since the guidelines purport to prohibit anthologies, the publishers call coursepacks "anthologies" and declare them unlawful. These coursepacks, however, are not anthologies because they do not meet the statutory requirements for being an anthology; specifically, there is no testimony that there was any authorship or originality in the selection and arrangement of the

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[15] As with the guidelines, the Court should review carefully the publishers' references to the "legislative history." Many of the statements quoted were actually made by publishing industry representatives, not members of Congress.

[16] The publishers, ever on the lookout for support for their word-counting theory, cite Harper & Row, 471 U.S. 539, and declare that the Supreme Court has determined that the use of 300 words is an infringement. On the contrary, Harper & Row held that if one acquires a stolen manuscript, publishes key portions for the purpose of "scooping" the copyright owner's valuable right of first publication, and causes the copyright owner to lose a valuable contract right, the claim of fair use will likely be rejected.

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course handouts (they are typically arranged simply according to the class syllabus). 17 U.S.C. §101 (definition of "collective work"). The testimony is to the contrary -- the excerpts were selected for their theories, ideas, and concepts. See 17 U.S.C. §102(b). Nothing in the Copyright Act transforms the semester's reading assignments into infringement by binding them together.

A fair use analysis "'involves a difficult balance between the interests of authors and inventors in the control and exploitation of their writings and discoveries on the one hand, and society's competing interest in the free flow of ideas, information, and commerce on the other hand.'" (Op. 10 (quoting Sony, 464 U.S. at 429)). It may be tempting to seek guidance from something entitled "guidelines" in an area of law that requires the difficult balancing of many factors, but the Copyright Act and the Supreme Court reject bright lines and mandate a case-by-case analysis. If used as anything other than a safe harbor, the guidelines preclude a court from engaging in such an analysis.

The publishers are determined to get from this Court what Congress refused to give them: bright lines and page-counting. Using quotas, however, would be an abdication of a court's responsibility to engage in the sometimes difficult balancing required by copyright law. "Strict adherence to the language and structure of the [Copyright] Act is particularly appropriate where, as here, a statute is the result of a series of carefully crafted compromises." Community for Creative Non-Violence, 490 U.S. at 748 n.14.

so the defendants, too, are trying to obtain some portion of the substantial market that exists among students at colleges and universities for educational works.

JUDGE: Counsel, let me ask you a sequence of questions. Do you dispute that a professor could copy this material as it is on a rented copy machine rented from Xerox?

MR. RAUCHBERG: I don't think that question has to be answered in this case.

JUDGE: I want the answer to it.

MR. RAUCHBERG: Well, the publishers have not -- I understand Your Honor wants the answer and --

JUDGE: Are you arguing that this, there's something about this material that would prevent a professor from copying it without violating the copyright laws?

MR. RAUCHBERG: If the question is could a professor produce a book like this or could a university prepare a book like this and sell it to students in the same way that Michigan Document Service does, I would point out that it may well be that the answer is no. There are classroom guidelines that were adopted by the congress as part of the legislative history of the Copyright Act that express what congress

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said is the congressional intent in defining the extent of fair use of copying for purposes of education, that describe how far a --

JUDGE: Have you asserted in the trial court or in your brief here that this material is material that the university, that a professor could not duplicate on a rented copy machine in the professor's office?

MR. RAUCHBERG: No, Your Honor, we have not made that argument.

JUDGE: All right. Now, have you disputed that the professor could make multiple copies and distribute them to the students in the class?

MR. RAUCHBERG: We have not made that argument, either.

JUDGE: You've not made that argument. Do you make that argument now?

MR. RAUCHBERG: No, Your Honor. The argument that --

JUDGE: Could the professor, have you made the argument that the professor could not charge the students the per page rental cost of the machine? In other words, if the rental is on a per page basis for the copy machine, that the professor could not charge the students the reimbursement of that cost of duplicating these exact materials.

MR. RAUCHBERG: We have not made that argument.

JUDGE: Okay.

MR. RAUCHBERG: The argument we do make, Your Honor, is the difference between copying by a professor or by a college or by a student which are not-for-profit copies and copying by a commercial copy shop that's in the business of promoting this kind of activity.

JUDGE: Well, let me ask you this. Could you then sue Xerox for renting its machine to the professor on a per page basis?

MR. RAUCHBERG: Well, the question then I suppose would be whether Xerox is a contributory infringer. Xerox is not making the copy; someone else is, in this case MDS. I think the teaching of the Sony case is that if the manufacturer of equipment has a substantial noninfringing purpose, then the manufacturer is not a contributory infringer. So I don't believe we could sue Xerox. I do believe we can sue the commercial copy shop that's in the business of advertising and promoting and selling these works. These people, Mr. Smith and MDS, advertise, they send fliers out that promote this service, they write

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ADDENDUM B

The MDS Decision and Fair Use for Coursepacks

March 5, 1996

Prepared for the Association of Research Libraries by
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Five years ago a Federal District Court in New York ruled that Kinko's Graphic Corporation infringed copyrights, and did not exercise fair use, when it photocopied "coursepacks" comprising book chapters, and sold them to students for their required reading at nearby colleges and universities.[1] The decision was widely publicized and debated in academic circles, and in intervening years many colleges and universities and their libraries have compiled and handled coursepacks with extraordinary caution.[2] Typical post-*Kinko's* advice regarding coursepacks generally calls for the copy shop—whether on or off campus—to secure permissions for all materials to be included.[3] Many libraries also have responded to the "coursepack" collection of materials with trepidation. While libraries generally do not make coursepacks, librarians have raised questions about the appropriateness of adding coursepacks to collections or even keeping a coursepack at a traditional print reserve desk. The ruling against Kinko's has stirred questions even about the lawfulness of isolated copies made at photocopy machines housed in the libraries.

Amidst this heightened sensitivity and caution about copyright infringement and coursepacks comes a decision rendered on February 12, 1996 by the Sixth Circuit Court of Appeals, based in Cincinnati, Ohio, which appears at first glance to have undone much of the ruling against Kinko's. The latest decision, *Princeton University Press* v. *Michigan Document Services, Inc.*, holds that an off-campus, for-profit photocopy shop may, as a matter of fair use, make coursepacks that include substantial portions of copyright protected books and sell them to students.[4] At a minimum, the conflict between this case and *Kinko's* exposes the turmoil and uncertainty that lies within fair use, and it ought to remind all members of the academic community that we need to respond critically to developments in copyright law. Fair use is a complex and fluid doctrine that defies sweeping conclusions in response to single cases.

We must, therefore, avoid hasty conclusions in the wake of this latest ruling from the Sixth Circuit. While the *Kinko's* case actually went to trial and the judge ruled upon a full record of facts, the latest case—known as the *MDS* case—is a ruling on motions for summary judgment. No trial has occurred in this case. The judges have ruled only on whether they believe the facts, as the parties allege those facts, would constitute an infringement. Moreover, the *MDS* case is certain to be appealed. The plaintiff-publishers have announced their intention to seek a rehearing from the Court of Appeals, and if they are unsuccessful we can most likely expect an appeal to the U.S. Supreme Court. Many important developments in this case remain ahead.

We must also resist hurried statements about the relationship between the *MDS* case and the *Kinko's* case. Some observers have stated that *MDS* "reverses" or "overturns" *Kinko's*. Nothing of the sort is true.

The *Kinko's* decision was rendered by the Federal District Court—the lowest level in the federal court system—at the district based in Manhattan. Following that trial and verdict, the parties settled, and Kinko's waived its opportunity to appeal the case.[5] The *MDS* case began in a Federal District Court in Michigan, where the judge ruled in favor of the publishers on their motion for summary judgment.[6] The copy shop appealed to the Sixth Circuit Court of Appeals, an intermediate court in the federal system with jurisdiction over the states of Michigan, Ohio, Kentucky, and Tennessee. That court now has ruled in favor of the copy shop. Although the Court of Appeals is a higher court, the Sixth Circuit has no authority to reverse or overturn a decision from another part of the country, such as the *Kinko's* ruling. As a result, both decisions remain on the record. Each decision is authoritative on its particular facts within the geographical territories that the courts serve, and the decisions are instructive or persuasive for determining the law in the rest of the country. For those persons who live in the jurisdiction of the courts rulings in these cases, you may look to the decisions for direct guidance. For the rest of the country, however, we must struggle with the sharply conflicting opinions and the radically diverging results in these two cases.

How can we make sense of these conflicting developments? For those persons and organizations seeking to review standards that have arisen since the *Kinko's* ruling, the *MDS* case offers some important guidance for possibly carving out a workable measure of fair use. As in all fair-use decisions, the particular facts at issue carry extraordinary importance. The *MDS* ruling details a variety of facts that seem to have persuaded the court that fair use may apply:

1. The instructor selected the materials to be included in the photocopied coursepacks.

2. The coursepacks were compiled for specific courses at the nearby campus, in this case the University of Michigan.

3. The coursepacks were sold only to students in the courses and not to the general public.

4. All unsold coursepacks were discarded and not sold to others or used for other purposes.

5. The purchase price of coursepacks was based solely on the number of pages and not on any evaluation of the materials.

6. The instructor signed a statement declaring that he or she would not have assigned the entire book for the students to purchase.

7. The materials included in the coursepack were either not central to the course or were not so lengthy as to justify purchase of the entire work.

8. The service provided by the copy shop was more efficient and more economical than photocopying of materials by the individual students or even by the instructor.

Fair-use cases are based not only on the particular facts, but on the relationship of those facts to four general factors that Congress instructed us to evaluate in the determination of whether or not a particular activity is fair use. Most of the court's opinion focuses on these four factors, as outlined in the fair-use statute, Section 107 of the U.S. Copyright Act.[7] Indeed, the court succinctly refused to be distracted from the four factors. In particular, it bluntly declined to apply the so-called "Classroom Guidelines" which were advocated by the plaintiff-publishers as an appropriate measure of fair use.[8] Those guidelines are familiar to many academicians and librarians, and they include elaborate word counts and other highly specific measures of fair use for the reproduction of materials for classroom distribution. According to the *MDS* opinion, "The publishers reliance on the Classroom Guidelines is misplaced," and the court refused to replace statutory language with guidelines developed by private parties and endorsed in a congressional report.

The court's analysis of the four factors may be summarized as follows:

1. Purpose and Character of the Use. The court found that this case involved mixed purposes. The copy shop was unquestionably seeking to make a profit, but the ultimate purpose of the coursepacks was to serve the non-profit educational objectives of the University of Michigan. Even in the hands of the private for-profit copy shop, the court adopted a sympathetic characterization of the defendant's purposes, finding that MDS was not exploiting the copyright itself by charging fees for coursepacks based on the quality of content. Instead, MDS was offering a service in fulfillment of educational objectives. Moreover, the court concluded that photocopying is an integral part of teaching and the accomplishment of teaching objectives. The opinion underscores a footnote in a recent Supreme Court opinion that identifies a specific right to make multiple copies of works for classroom teaching to an extent that may not be allowed for other fair-use purposes.[9] The court also concluded that the selection of custom materials and their compilation into a coursepack is "transformative," which also helped tip this first factor toward fair use. Overall, the court was persuaded that MDS's purpose favored fair use.

2. The Nature of the Copyrighted Work. The court offered little analysis and ultimately reached no meaningful conclusion about this factor. It recognized that non-fiction works, which were at issue in this case, may be used or subject to fair use more extensively than fiction, but the court also refused to conclude that all uses of such materials would be fair. The court ultimately reached no determination about this factor and its effect on the fair-use analysis.

3. The Amount and Substantiality of the Portion Used. The court focused its inquiry on "whether the quantity and value of the materials used were reasonable in relation to the purpose of the copying." The court also looked for evidence of whether the amount copied superseded or fulfilled demand for the original work. The quantity of each book photocopied ranged from 5% to 30% of the original work. The plaintiffs submitted a declaration that permission would have been denied to photocopy at least one of the excerpts, and that the photocopying was so extensive that the publisher would have required a purchase of the book rather than allow the copying to proceed. The court dismissed such claims as irrelevant and focused instead on the statement signed by each instructor at the time of placing an order with MDS, in which the instructor declared that he or she would not have assigned the work to the class. In addition, the court relied on the lack of evidence that the excerpts were anything other than the amounts needed to serve the "limited classroom purposes" for the coursepacks. In the end, the court resolved that this factor also favored fair use.

4. Effect of the Use upon the Potential Market for or Value of the Copyrighted Work. The court put the burden on the publishers to present proof of some likelihood of harm to their market caused by the photocopying. The court found no such proof on the record, other than "evidence of lost permission fees resulting from defendants refusal to seek permission and pay fees for the copying and selling of excerpts from copyrighted works." Market effects based on lost revenues from permission fees were central to the analysis in the recent rulings against Texaco Inc. for photocopying by research scientists.[10] The *Texaco* cases held that Texaco could have paid fees to the Copyright Clearance Center for permission to make photocopies, and its failure to do so had an adverse effect on that particular market for the works. Some observers have criticized that reasoning as "circular," because it requires an analysis of royalty fees in order to determine whether royalty fees even ought to be paid. The *MDS* decision endorsed that critique and concluded, "Evidence of lost permission fees does not bear on market effect." The court added, "It is circular to argue that a use is unfair, and a fee therefore required, on the basis that the publisher is otherwise deprived of a fee." Once again, the court underscored the limited utility of the coursepacks and the instructors statement that they would not have assigned the purchase of the book to conclude that "there is no evidence of market effect." The court adopted a line of reasoning frequently espoused by academicians and librarians: "If it had any effect at all, use of the excerpted materials enhanced the prospect that the original works might later be of interest to the student."

In its reasoning and conclusions, the *MDS* decision stands in nearly complete contradistinction to the *Kinko's* decision of 1991. Listservs and professional meetings are already exploring and analyzing its significance. Like the *Kinko's* decision before, the *MDS* ruling will undoubtedly undergo thorough analysis and extensive scholarly critique. It will also help to shape policies and behavior at libraries, colleges, and universities far beyond the University of Michigan. Unlike the *Kinko's* ruling, however, the *MDS* decision is not the end of this case. We have months and possibly years of future appeals. In the meantime, we might contemplate the following observations and consider the following actions:

1. Libraries, copy shops, and other organizations located within the Sixth Circuit are clearly best positioned to advance any opportunities for fair use identified in the *MDS* decision, subject to appeals of the case. A reversal on appeal, however, can place even past claims of fair use in jeopardy.

2. For the rest of the country, the decision underscores that fair use is confusing and complex and depends on the specific circumstances in any case. We should at a minimum be wary of simplistic rules. Sweeping requirements of permission for everything in a coursepack are as overbroad as sweeping claims of fair use. In fact, even the *Kinko's* decision refused to adopt a complete prohibition on photocopying in coursepacks, and the private settlement in that case allowed at least brief excerpts in coursepacks without further permission.[11]

3. "Guidelines" on fair use, such as the Classroom Guidelines, are interpretations or recommendations or suggestions about the meaning of fair use as applied to particular circumstances. They are not the law, and they have not been read into the law in the *MDS* case or in any other ruling from any American court.

4. Libraries and other organizations should rely only cautiously on the *MDS* ruling in the development of new policies and practices pending its appeal. Any changes based on this decision should be reviewed immediately upon further developments. Indeed, the case reminds us that fair use is a flexible and transitory concept constantly in need of regular review and fresh understanding.

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[1] Basic Books, Inc. v. Kinko's Graphics Corp., 758 F.Supp. 1522 (S.D.N.Y. 1991).

[2] Kenneth D. Crews, "Federal Court's Ruling Against Photocopying Chain will not Destroy 'Fair Use,'" *Chronicle of Higher Education* (17 Apr. 1991): A48.

[3] Questions and Answers on Copyright for the Campus Community (Oberlin, OH: National Association of College Stores, Inc. and The Association of American Publishers, 1993): 7.

[4] 1996 U.S. App. LEXIS 1919 (6th Cir. 1996). Three judges participated in the decision from the Sixth Circuit. Two judges wrote a majority opinion upholding the claim of fair use; one judge dissented, but held that the photocopying was not willful infringement.

[5] "Photocopying Stores Agree to Pay Publishers Nearly $1.9-Million to End Copyright Case," *Chronicle of Higher Education* (23 Oct. 1991): A13.

[6] 855 F.Supp. 905 (E.D. Mich. 1994).

[7] 17 U.S.C. Section 107 (1995).

[8] "Agreement on Guidelines for Classroom Copying in Not-for-Profit Educational Institutions," in *Copyright Law Revision*, H.Rep. No. 94-1476, 94th Cong., 2d Sess., pp. 68-70 (1976).

[9] Campbell v. Acuff-Rose Music, Inc., 114 S.Ct. 1164, 1171 n. 11 (1994).

[10] American Geophysical Union v. Texaco, Inc., 802 F.Supp. 1 (S.D.N.Y. 1992), *aff'd* 60 F.3d 913 (2d Cir. 1995).

[11] Basic Books, Inc. v. Kincko's Graphics Corp., 21 U.S.P.Q. 2d 1639 (S.D.N.Y. 1991) (allows one page of a work in a coursepack).

ADDENDUM C

Update on the Status of the MDS Case

On April 9, 1996, the judges of the Sixth Circuit Court of Appeals voted to rehear this case *en banc*. The effect of that vote was to vacate the previous decision from the Sixth Circuit, leaving in force the injunction issued by the District Court.

In May 1996, an amicus brief was filed in the case on behalf of the educational community by the Attorney General of the State of Georgia, the National School Board Association, the Georgia and California School Boards Associations, and the American Association of School Administrators. ARL filed a letter with the U.S. Court of Appeals for the Sixth Circuit to express its strong support for the important basic principles expressed in the brief of these amici. The American Library Association joined ARL in filing this letter. The ARL/ALA letter calls on the court to take note of the broader issues raised in the case and the significant public interests affected. "If the public did not have the ability to exercise... fair use rights," the letter states, "education, scholarly research and the progress of science and the arts would be severely inhibited, and the usefulness—and inevitably the value—of the copyrighted works concerned would be substantially diminished."

The case was reheard June 12, 1996.

On November 8, 1996, the Sixth Circuit Court of Appeals handed down its decision, holding that the making of photocopied coursepacks for sale by a for-profit copyshop is not fair use and is an infringement of copyright. This ruling came from the court "en banc," meaning that all 13 judges held and ruled on the case. Eight judges held that it was infringement; five concluded that he copying was fair use. In response to this development, MDS filed a petition with the U.S. Supreme Court to review the case. However, on March 31, 1997, Susan Kornfield, attorney representing MDS, posted an e-mail message to colleagues in the library and educational community who followed the case, reporting, "As you probably know, the Supreme Court today denied our petition for cert, leaving standing the 8-5 en banc decision in *Princeton University Press et al* v. *MDS and James M. Smith*. Someday, when educational institutions reconsider their wholesale giveaway of their constituents' right of fair use, the battles may resurface."

Many of the decisions and briefs filed on both sides of the MDS coursepack and fair use case are on the Stanford University Libraries Copyright and Fair Use website <http://fairuse.stanford.edu/mds/>.

AMENDING CANADA'S COPYRIGHT LAW WHILE RENEGOTIATING THE CANCOPY LICENSE

Graham R. Hill, University Librarian
McMaster University

As I talk about Canadian copyright law and the situation we face here, I would encourage you to reflect upon the different approaches of our two countries. I think that there are both subtle and fundamental differences in approach between the two countries with respect to copyright law.

In the United States, as you know, there are fair use guidelines—Sections 107 and 108, classroom guidelines, and so on. We have a very different system here in Canada, which I will explain.

I also want to very briefly outline for you some new legislation tabled in Parliament—the so-called Phase II of our copyright law. It is almost impossible to talk about the status of the Canadian Copyright Licensing Agency (CANCOPY) without telling you about Phase II as well. I am going to use overheads as a framework as I address you.

The recent history of Canadian copyright law dates back to 1988: some of you may recall me saying to this group on previous occasions that this was the first alteration of our copyright law in over 60 years. This change finally brought Canadian copyright law from the Middle Ages to the 20th century, and it dealt primarily with the five areas you see marked at the top of the screen [see Figure 1].

Parliament finally recognized the fact that we had moved from mechanical contrivances for the reproduction of sound into a computer age. But it did more than provide protection for computer programs. It established a Copyright Board. The Copyright Board is an independent body under the *Copyright Act*. Its primary responsibility is setting tariffs for the use of copyright, principally in the entertainment arena: music, film, radio, and television, but it also has the authority to set tariffs under any part of the Act.

In the same overhead you will see a little hand pointing towards CANCOPY. CANCOPY dates from 1988 because Bill C-60 provided for the establishment of societies for the collective management of copyright. When I have used this slide in other presentations, people have asked me if it was a coincidence that I used a finger and not an arrow on the slide. I have to admit that after having negotiated with CANCOPY, I think the use of a finger is particularly appropriate. More on that later.

The government, having passed this phase of legislation (commonly called the "Creators' Legislation"), established two consultative committees: one for the educational uses of copyright and the other for library uses of copyright. The objective of these committees was to advise the government on exceptions. Remember, up to this point, even with the passage of C-60, we had no exceptions in our copyright laws. In fact, the only thing approaching an exception we had is indicated in the box at the bottom of the screen [Figure 1].

This was the part of the *Copyright Act* that dealt with actions not constituting infringement of copyright, which was considered fair dealing. There was a considerable amount of uncertainty about all this, and librarians have expressed for many years their desire for some certainty. In the press for certainty came questions: Why can't the committees define fair dealing? Why can't we have criteria like they do in the United States?

The government had, in fact, passed a half-law. I say a half-law because C-60 gave considerable rights to copyright owners, but contained no exceptions for user communities in the public good. Of course, Phase II was supposed to contain those exceptions.

So what is Phase II? Bill C-32, *An Act to Amend the Copyright Act*, was tabled in Parliament 2,878 days after Phase I became law. That's longer than the Second World War. Whenever I talk about copyright I tend to be very cynical about this. We consulted with everyone having anything to do with this and then some—and it still took us seven years to get user legislation [see Figure 2].

Obviously, after C-60—the bill that set up CANCOPY—was enacted, we began to negotiate a license. There was a great fear that we would end up licensing away rights to which we should be legally entitled. People thought if we started negotiating licenses, well, you could kiss Phase II good-bye. There would never be any exceptions because the government would simply turn around and say, "Well, you've managed to do it all by licensing. What do you need exceptions for?"

I don't believe that has proven to be the case. Those fears were largely unfounded. But licensing has given us a lot of aggravation. The delay has also allowed the whole area of intellectual property and copyright use a chance to solidify. Besides, legislation is too often enacted prematurely. So I think there is a case for sort of letting things settle to a degree before you rush into them—even though obviously seven years is a long time to wait—because it is a large and complex area, where every decision has many ramifications.

Now let 's talk about Bill C-32 a bit. This legislation was introduced April 25, 1996 by our Minister of Heritage, Sheila Copps, who is also our Deputy Prime Minister; she represents the Hamilton East constituency, and as my university is in Hamilton, I had a real vested interest in this.

In fact, when she tabled the bill in Parliament it brought to mind the day the late and unlamented Robert Maxwell met his demise. At the time they said, "Well, that just shows what happens when you mess with librarians." Sure enough, six days after Sheila Copps tabled this legislation, she resigned. Now, I don't think there is a connection between the two. She actually resigned for very different reasons, and I'm sure my Canadian colleagues will be only too delighted to fill you in on those. Let's just say it definitely wasn't over bill C-32.

Bill C-32 encompasses five broad areas of copyright law [see Figure 3]. Three of them are mostly about neighboring rights and the private copying of sound recordings, and the fourth one deals with protection from parallel importation of books, which seems to be more in the way of what might be called cultural protectionism. I know there is some sense of a cultural war developing between our two countries on parallel importation, but these are not areas on which I need to dwell at this point. I think our focus should be on the exceptions. Exceptions have been added to this bill which favor non-profit educational institutions, libraries, museums, archives, and—unlike U.S. law—individuals with perceptual disabilities.

The exceptions are contained in Sections 29 through 32 of the drafted bill [see Figure 4]. The bill is silent on fair dealing, which is the term we use in Canada for fair use. It is not defined, nor is it clarified. The bill does not address the issue of finding a definition for fair dealing. In the slide I have quoted the ten or so words from the bill addressing the issue of fair dealing. In Section 29, as you see, it states that fair dealing, for the purpose of research or private study, does not infringe copyright. I think it is important that we consider the meaning of every one of these words and then reflect upon the specific wording of U.S. legislation. There are some subtle differences. There are opportunities and constraints in Canadian wording that those of us, as a community representing users, can explore.

The educational institutional exceptions to copyright law are relatively limited when compared to U.S. law. But at least our teachers will now be able to write on a blackboard without violating copyright, and they will be able to use copyrighted material for exams, which is real progress, believe it or not.

Note that there is no teaching exception in the bill. This is another way in which our law differs quite noticeably from U.S. law. But most important to our constituency, of course, are the exceptions for libraries, archives, and museums.

The bill provides three exceptions to current copyright law. The first exception, which deals with copying published or unpublished works in order to maintain or manage permanent collections, is pretty broadly written. It addresses the need to copy rare, deteriorating works in order to preserve them.

The second exception, which I call the interlibrary loan exception, makes an exception for interlibrary loan purposes. It deals specifically with copying a single article from a scientific, technical, or scholarly journal for private study or research purposes. My understanding, and the understanding of those in Ottawa close to the drafters of this bill, is that they specifically intended to create a distinction between scholarly journals as opposed to magazines and newspapers.

This could lead to a parting of the ways on this bill within the various library communities in Canada because it will, obviously, operate differentially. Research libraries tend not to send newspapers and magazines out on interlibrary loan. There is also an attempt to balance the interests of magazine publishers, who lobbied strongly against such exceptions because, as they claimed, exemptions would destroy their market. But, in fact, the bill does recognize that providing free access and free circulation of scholarly materials through the inter-loan network is in the public good.

The third exception, in Section 32, allows a single copy of a work to be made in an alternate format for persons with perceptual disabilities. This particular proposal has received a lot of public support. Of the few technical difficulties in this bill, one deals specifically with this provision: the bill would require the destruction of any intermediate copy that is made in order to produce that alternate format copy. This could create quite an obstacle to the production of Braille text or recorded word. (However, the third exception would not apply to large print books, which, of course, are quite successful commercially.)

I would like to turn now to the CANCOPY license [see Figure 5]. The Association of Colleges and Universities of Canada (AUCC) negotiated the first model license, which has now been signed by all Canadian universities—55 altogether. It is a two-year agreement which expires the end of this August. It is essentially a two-part license. I direct your attention to the box in the middle of the screen, which gives the license in a nutshell.

Part A of the license is a blanket license: it covers all compensable copying. The definition of compensable copying is important. The license covers classroom distribution of multiple copies by instructors, personal use, library reserve, interlibrary loan, and so forth, at $2.50 (Canadian dollars) per student per year.

The second part of the license covers photocopying of material that is then sold to students—that is to say "coursepacks"—at a royalty level of 3.5 cents per page.

This license was signed by all Canadian universities in the summer of 1994. We are now in the course of renegotiating this license. The fact that the Bill C-32 was tabled right when we had begun renegotiations only served to complicate matters further.

On the next overhead I have outlined the key issues of the renegotiations [see Figure 6]. These were CANCOPY 's positions at the end of last year.

CANCOPY wanted to restructure the license totally and remove interlibrary loan from beneath the blanket of the license and put it into a separate schedule that they would call document supply. They proposed a rate of 16 cents per page for interlibrary loan users, and 40 cents per page charged to corporate and other professional users.

They also wanted to survey what was being copied, which was one of the things we had absolutely refused to let them do. The whole idea of a blanket license is that universities pay on per student basis.

Frankly, what the students copied and how much they copied was none of CANCOPY's business. We were only responsible for paying them a lump sum.

They wanted to increase the Part A tariff. They said they were being magnanimous, and that they were not raising the tariff, but the fact is that removing certain provisions from the license would have had the effect of raising it. And they very much wanted to increase coursepack charges—from 3.5 cents to 5 cents, an increase of over 40 percent.

So here you have a realization of the fears of licensing. Once you have a license, all the licensor tries to do is ratchet up the costs and take things away from you, and so on and so forth.

Interestingly, now that Bill C-32 has been tabled, the whole kaleidoscope has shifted because interlibrary loan is an exception in that bill. So number one, we won't pay for interlibrary loan in terms of traffic between our institutions.

There are other exceptions in the bill from which we can benefit. We can test, in court, what exactly the term fair dealing means, since there is relatively little case law for us to refer to.

But of course the coursepack increase is an issue they are absolutely intransigent on, at least as of January this year. We have tried negotiating with them. It's hard. CANCOPY negotiates in a very in-your-face style. Let me give you a flavor of the way it always goes: they come in and say, "We will not sign a license unless...," and we sit there and say, "We will not sign a license unless...." And then we both sort of pound the table.

It is going to be very interesting from this point on, because, as I said earlier, C-32 is still just a bill. It has to work its way through committee, back through the House, then into passage at third reading, and assent into law. It is going to be very interesting to watch its course. We plan to be closely involved in the process. Ideally, it will become law by late summer, and certainly by the end of 1996. It is unlikely to become law before we finish a renegotiation of this license.

CANCOPY's position, a few days after the bill had been tabled in Parliament, was essentially, "Well, the library community got so little out of the new bill compared to what they wanted that nothing has changed," which is a total misrepresentation of the facts. I don't know whether they meant that as a signal that they intend to negotiate as if C-32 didn't exist.

Our position is, in essence, "Let's be sensible and put all posturing aside. Let's get a license that works for all of us." We have taken the route of trying to mold the copyright law for the benefit of users. It is clearly for the public good, as we have shown on many occasions. It makes sense to license only that which will never be exempted or excepted from copyright law.

So when our first license expires we will be vulnerable. Every university will be vulnerable. We will be completely unprotected until a new license agreement is reached. And Bill C-32 is still waiting to be passed into law. It promises to be a very interesting summer.

The constraint upon CANCOPY and the owners of copyrights, of course, is that going to the Copyright Board is a public process and involves considerable expense. I will watch with great interest the way in which your battles on the other side of the border proceed with respect to the Michigan Document Services case. I wish you good luck.

Thank you.

FIGURE 1

Chronology

1988

Bill C-60 (*Phase I*) becomes law:

- ➢ Computer programmes
- ➢ Anti-piracy remedies
- ➢ Relationship between copyright and industrial design
- ➢ Established a Copyright Board
- ➢ Provided for the collective management of copyright without offending the Competition Act

☞ **CAN©OPY** (the Canadian Copyright Licensing Agency) starts to negotiate licenses

Government establishes two Consultative Committees:

(1) Educational Uses of Copyright
(2) Library Uses of Copyright

Objective: advise government on: "exceptions" to be included in *Phase II* (Users') legislation; concept of "fair dealing," etc.

Copyright Act **(R.S.C. 1985, c. C-42):**

SECTION 27. INFRINGEMENT OF COPYRIGHT

(2) ***Acts not constituting infringement of copyright.***—The following acts do not constitute an infringement of copyright:

(a) **any fair dealing** with any work for the purposes of private study, research criticism, review or newspaper summary;

...

(f) the reading or recitation in public by one person of any reasonable extract from any published work;

FIGURE 2

Chronology

1989–1996

1990 (July 17)

The Racine letter:
"…we are looking at the following exceptions as a basis for the library provisions: To permit libraries (or library patrons) to…

- make a single copy of a periodical article for purposes of private study or research if the article is of a scientific, technical or scholarly nature;
- make one copy of an out-of-print work; etc."

1992 (November 9)

Fourteen sub-committees established to engage in "consultation on copyright reform"

1993 (January 6)

Draft legislation (*Phase II*) circulated for comment to committee members who have signed a non-disclosure agreement

1994 (October 13)

Minister of Canadian Heritage (The Hon. Michel Dupuy) says*: "It would not be realistic to think that Phase II will solve all problems… I have no doubt… there will have to be a Phase III. For the moment, John Manley [Minister of Industry—responsible for the administration of the *Copyright Act*] and I are firm in our goal of bringing Phase II before our Cabinet colleagues this autumn."

(*Canadian Intellectual Property Institute Conference: *Copyright in transition: enforcement, fair dealing, and digital developments*. Ottawa, Canada)

1996 (April 25)

Bill C-32, *An Act to amend the Copyright Act*, tabled in Parliament

64

FIGURE 3

Bill C-32

An Act to Amend the Copyright Act
(First reading: April 25, 1996)
Website: http://www.pch.gc.ca

HIGHLIGHTS

- NEIGHBORING RIGHTS:
  A broad scheme of rights in addition to those already owned by composers and lyricists given to performers and producers of sound recordings and broadcasts.

- PRIVATE COPYING OF SOUND RECORDINGS:
  A levy payable by manufacturers and importers (buyers) of blank audio tapes to benefit composers and lyricists, and eligible (Canadian) performers and producers of sound recordings.

- EXCEPTIONS:
  New exceptions in favour of non-profit educational institutions, libraries, museums and archives and persons with perceptual disabilities.

- PROTECTION FROM PARALLEL IMPORTATION OF BOOKS:
  A new right in favour of Canadian-based exclusive distributors of books to prevent the importation into Canada of unauthorized editions of works for which Canadian rights have been sold (exception to allow libraries to import a single copy of a anew book, and any used books).

- ENFORCEMENT AND TECHNICAL MATTERS:
  Improved remedies for copyright infringement, including statutory damages and a requirement that a "collective society" publish a repertoire of its works.

FIGURE 4

- **EXCEPTIONS:**
  New exceptions in favour of non-profit educational institutions, libraries, museums and archives and persons with perceptual disabilities.

§29-29.2	**Fair dealing** remains, but not defined or clarified. Requires the source to be mentioned if for criticism, review, or news reporting. *["Fair dealing for the purpose of research or private study does not infringe copyright"—Section 29]*
§29.3-30	**Allows non-profit educational institutions to:** ➢ copy works on to boards, acetate, etc. ➢ use copyright materials for tests or examinations ➢ copy a broadcast news programme and perform it within a year (after which it must be erased, or records kept and royalties paid)
§30.1-30.7	**Allows libraries, archives and museums to:** ➢ copy published or unpublished works (so long as copies are not commercially available) in order to maintain or manage their permanent collections ➢ make a single copy of an article from a scientific, technical or scholarly journal for private study or research purposes at any time, an from a newspaper or magazine* that is more than 12 months old at the time of copying ➢ (*to be defined in regulations) ➢ benefit from limited liability for self-service copiers, providing copyright notices are posted
§32	**Allows a single copy of a work**, other than a film, **to be made in an alternate format** (e.g., Braille, talking book—but not "large print") if a work in the required format is not commercially available.

FIGURE 5

MAIN FEATURES OF THE FIRST MODEL LICENSE

① **Two-year agreement**, (August 1, 1994)–August 31, 1996

② **Covers photocopying** by students, faculty and staff

③ **Covers a wide selection of works**, though no defined repertoire

④ **Does not cover:**
- ➢ copying that would constitute "fair dealing";
- ➢ works of publishers and authors who have specifically stated that they do not want to be represented by CAN©OPY (identified on an "exclusions list")
- ➢ Crown copyright material
- ➢ certain types of work, e.g., sheet music, workbooks, manuals, etc.

⑤ **Two-part license:**

Part A: covers all compensable copying (i.e., for classroom distribution, personal use, library reserve, inter-library loan, etc.) @ $2.50 per FTE/year
Part B: covers photocopying of material sold to students (i.e., course packs) @ 3.5¢ per page/copy

⑥ **All copying subject to limits:**

Part A: 10? Of a work, OR a whole chapter, article, short story, poem, whichever is greater.
Part B: 15% of a work, OR a whole chapter, article, short story, poem, whichever is greater.

⑦ **Comprehensive indemnity** provision: protects faculty, students and staff in the event that a work is copied which is not on the exclusions list, but for which the rights-holder has not given CAN©OPY permission to represent them.

⑧ **Obligations on the University** to inform students, faculty and staff on the provisions of the license.

FIGURE 6

KEY ISSUES IN THE LICENSE RENEGOTIATION

- **Re-structuring of license** to remove inter-library loan from Part A, and put it into a separate schedule (Part C) called "Document Supply"

Proposed (educational) tariff for all ILL:
16¢ per page, or $1.30 per article
Hospitals & Associations: 32¢ per page
Corporate and Professional: 40¢ per page

- **Require surveying and sampling** to facilitate distribution of Part A royalties
- **Effectively increase tariff for Part A:** maintain $2.50 per FTE for Part A, but add a *separate* tariff for non-credit course students; and *remove* ILL
- **Increase tariff for Part B** (coursepacks) from 3.5¢ per page to 5¢ (+42%)

QUESTION AND ANSWER SESSION: MR. HILL

MS. PATRICK (University of British Columbia): Graham, are there any implications in the Canadian copyright bill for copying electronic material?

MR. HILL: Well, yes, in a very general sense. Fundamentally, however, C-32 is print-based. There is nothing specific in it that relates to technology. One of the things that always strikes me when people talk about U.S. and Canadian law is that Canada seems to be about five, seven, even ten years behind the U.S. Or, to say it another way, the U.S. is that many years ahead of Canada. I still don't know who has it better.

It can be said that, although we got rid of mechanical contrivances, C-32 is still littered with the word "reprography." They are still dealing with print on paper. However, the passage of time does give some chance for users of copyright and information to understand how things are shaking down, to mount the lobbying campaigns, and so on.

So there is nothing in C-32 that specifically points to copyright in an electronic environment. I am sure that we will deal with electronic reserves the same way we do with reserves in a print environment. The IHAC (Information Highway Advisory Council) has put forth their latest recommendation, which says that the *Copyright Act* should be technology neutral. However, the current thinking is that displaying electronic information constitutes publication, and therefore there is a liability for copyright offence the moment the material crystallizes on-screen. They are obviously concerned about that.

But in terms of exceptions for libraries and educational institutions in C-32, I can only say that they will become clearer as we renegotiate the CANCOPY license. It goes right back to the very different foundations of U.S. and Canadian laws. U.S. laws are constitutionally based; ours are not. Canadian law tends to hold the property right of the creator as supreme. It is the creators' right to decide, almost unhindered, whether or when their creation shall be published. But, hopefully we can resolve some of these issues as we work on Phase III, which will address copyright in the digital environment.

MR. WIENS (Queen's University): Graham, it seems to me that there might be some salutary effects of not having a license or of letting one lapse. I wonder if you could comment on two things. One, how much copying under Part A might be covered under fair dealing? And, two, how do you see universities dealing with the copying that now takes place under Part B in the absence of a license?

MR. HILL: It is very difficult to anticipate what would be covered under fair dealing. It is easier to list the exceptions. If it is an exception to copyright, it does not infringe copyright. This is what we wanted in the first place. Obviously, interlibrary loan is largely removed from the license.

But let me make something clear: multiple copying for classroom use is still not an exception. We still have to work through the fine points of the legislation (which, as I said, was tabled only three weeks ago).

Under Part B, if we have no license at the end of August, there are a couple of possibilities. One, CANCOPY's principal affiliates, the large publishers and the Canadian publisher groups, could take one of our universities to court. It won't take the AUCC to court because the AUCC, the association of universities negotiating the model license, is not itself a license holder.

So CANCOPY will have to pick on one of us—take us to court and sue us for copyright infringement. Or CANCOPY could try and take its case to the Copyright Board. Both these strategies are risky and expensive. Certainly, other strategies are available to us: we could charge 3.5 cents per page and put it into escrow, and then face them in front of the Copyright Board.

I try to disabuse people of the notion that, because we have licenses, we have somehow knuckled under to the publishers. We haven't done that. We still assert rights that we believe to be in the public interest with respect to copyright. Ultimately, I'm sure that our strategy will be guided by that kind of thinking.

MR. NEAL: In conclusion, I think we can all agree that, if we are ever sued or if we ever need to negotiate a good license agreement for our libraries, we know where to go. Thank you to both our speakers.

PROGRAM SESSION II
PERSPECTIVES ON LEADERSHIP IN CHANGING TIMES

INTRODUCTION

Nancy Cline, Presiding President
ARL

and

Carolynne Presser, President
CARL

MS. CLINE: As leaders of the two nations' research libraries and also leaders within our respective institutions, I think it's fair to say that the members of ARL and CARL are acutely aware of the forces for change. Thinking back to our first session this morning, "Change in Higher Education," I think it's also fair to say that we are, in many cases, the agents causing much of the change with which we are dealing.

The challenge I believe many of us are facing is how to take the entirety of an organization and develop it in such a way that we are able to respond quickly and effectively, whether this includes redefining roles or defining responsibilities differently—and that can be personal as well as organizational responsibilities—so that we can be agile and nimble when dealing with change.

In this morning's session we had the opportunity to focus on some of the complex changes that are taking place in research institutions, particularly in higher education, and to see to some extent how those challenges are being faced and met.

We have now before us four distinguished colleagues who will represent very different points of view. These presenters will discuss successful approaches to developing agility and flexibility within organizations so that the changing demands of technologies, management styles, and the ever-renewing expectations of our user communities are met.

I look forward to learning from the various perspectives that will be presented to us. Carolynne will now give us some details on our speakers and the process to follow.

MS. PRESSER: Thank you.

Each of our four speakers this afternoon will provide a brief description of the approach they believe can be used to leverage the talent that resides within our organizations, so I want you to think of their presentations as a marketing pitch, an infomercial, if you wish. We'll follow with two 45-minute breakout sessions for which you'll be able to choose two of the initiatives that you've heard today.

We will start with Professor Charles Manz (Chuck) who is Professor of Management at Arizona State University. He has his B.A. and M.B.A. from Michigan State and a Ph.D. from Penn State. His areas of interest include employee self-leadership and self-managing work teams. He is also the author of many articles and several books, including *Super Leadership: Leading Others to Lead Themselves*. I found this quote in an article written by Chuck, "The most appropriate leader today is one who can lead others to lead themselves. The more traditional image of a leader as a striking figure on a rearing white horse crying 'Follow me' may represent an incomplete view of leadership."

Next on our list is Charlan Nemeth. Charlan is a Professor of Psychology at the University of California at Berkley and received her Ph.D. in Social Psychology at Cornell. Her courses cover social psychology, group dynamics, influence, processes in group decision-making, and the social psychology of creativity. Charlan has written and spoken extensively on the positive contribution of dissent within groups and the role of the minority voice in creativity. Her focus today is on how to nurture flexibility in the organization by working at the individual level.

Our third speaker this afternoon is Professor André Delbecq, who is from the School of Business Administration at Santa Clara University in California and holds degrees from the University of Toledo and Indiana University. One of his areas of research has been organizational design for facilitating innovation. He has been involved in studies of innovation in the high-technology industries in Silicon Valley, from which he has identified practices that help increase the rate of successful innovation.

Our final presentation today is from Jim Harris, whom we heard from this morning in Program Session I, and who needs no introduction. He will be outlining for us a holistic approach for sustained success.

Welcome to all of our speakers.

LEADING TEAMS TO LEAD THEMSELVES

Charles Manz, Professor
Management Department
Arizona State University

There are two topics that I generally talk about when I give presentations on occasions like this. One is work teams, which is what I'll primarily focus on in this session. The other is the leadership issues of empowering others, of bringing out self-leadership in others. I hope to address that in more detail in the breakout session that will follow.

To describe this idea of teamwork, I'd like to start by painting an image for you if I could. Maybe this is particularly appropriate considering today's rapid pace of change and the fact that we're not sure what the future will look like. An image of the future is to have multiple individuals, each with different backgrounds and experiences, and somehow harness their different talents and different knowledge base, bring them together, and, with appropriate team work, come up with a solution that is superior to what these individuals could accomplish separately.

I use the term self-managing work teams. In a definitional sense, these are work groups that are provided with increased decision-making autonomy and behavioral control. The groups' members perform many traditional management functions: usually they help choose their own leaders, have regular meetings, and are even paid differently. So there are obviously a number of things that are quite distinct that begin to move the whole organization into the realm of what traditionally was management's prerogative.

Now, some of the typical kinds of responsibilities, which vary in different kinds of settings and industries, we see employees handling within these work teams are:

- assigning one another to jobs;
- coming to work and deciding who will work on what job station and rotating those different responsibilities;
- quality control observation and analysis;
- solving technical problems;
- resolving conflicts within the team without having to call upon someone in a higher level of authority;
- selecting internal team leaders, if there is a team leader—this is often a rotating position;
- training one another, passing on each other's knowledge;
- assessing their own performance, and competency testing of other members;
- keeping track of their hours, if there is an hourly component;
- adjusting the work schedule as necessary; and
- analysis and redesign of the work process itself.

With self-managing work teams, people apply the knowledge they have to figuring out how to do a task better and in a way that hopefully contributes to the whole.

Now, this is not always the view that is taken. Unfortunately, in some organizations the view is: Our employees want to work in teams; do we have enough harnesses? When you focus on the leadership issue, in particular, this becomes central. That's not what we mean by team work, but sometimes that's the way that the groups are used.

Why bother with teams? There are a number of challenges, and let's keep in mind that, when you go to teams, it's a major change and typically things get worse before they get better. So why bother? Why go to the trouble?

Again, the common payoff themes that I've observed across all different kinds of organizations include: increased productivity; improved quality; enhanced quality of work life—people feel better about their jobs and appreciate the fact that their viewpoints are heard and have some impact; there can be tremendous cost reductions; turnover and absenteeism tend to decrease; and conflict is easier to resolve. It's not so much the conflict's reduced, in fact, in some ways it actually increases, but it's a more constructive conflict. Instead of personalizing the differences of opinion, team members work together and eventually get to the point where they can challenge each other's ideas and come up with better solutions. Innovation tends to increase, as does creativity and organizational adaptability. People are able to come together, combine their ideas, and adapt to changing conditions.

This is a fairly rosy picture, and it can and has occurred in a number of organizations, but not always immediately, and there are many team failures. We need to look at some of the challenges to teams, and look more specifically at some of the things that can go wrong, as well.

Where have self-managed teams been tried? I started studying work teams in the late 1970s, and at that time this was a good question. Now a better question to ask is, "Where haven't they been tried?" They are in manufacturing and service industries, and, somewhat surprisingly, recently a growing area where I'm asked to come in and do consulting and speaking is in the health-care industry. That's been an explosion over the past four or five years.

One difficulty is that as the use of teams continues to grow, we're hitting the stage where people are beginning to look at them as a fad. Additionally, some individuals resent moving into teams.

Well, I'm strongly committed to the idea that empowered teams can improve competitiveness, performance, quality, productivity, and so forth. Clearly, in some organizations, they're unfortunately being used in kind of a knee-jerk manner, copycating what other organizations have done without really recognizing how they fit in their own particular organization and also without looking at the preparation that is necessary in order to make teams work.

There are certainly very positive payoffs if you're patient and if you invest in the groups with adequate training and adequate resources. But, indeed, there are problems as well. I want to emphasize again that when you first put teams into place, performance often tends to go down initially. That's not always the case; I've seen some organizations where performance rises right from the beginning. More often than not, though, performance goes down. Expecting too much too soon is one of the challenges, because there's a lengthy learning cycle and there may be an initial dip in performance.

Why does this occur? If you go into teams without preparing, without adequately planning for your own work setting, without providing any training for employees, you will certainly end up with initial performance problems.

Successful transition to self-managed teams requires new skills and new perspectives on work and management, which, in turn, requires a great deal of training, and a lot of learning. Fundamentally though, the biggest challenge to team success is in the area of management. One of the terms I like to use is the middle management "brick wall," where much of the difficulty lies. Even if the team process is envisioned at the top, and at the lower end of the organization the employees are ready to enter into it, it is often in the middle that we encounter hurdles.

The idea that our fundamental leadership assumptions are challenged, that management's sense of power and control is threatened, are very central to this process. Even some of the high-status workers feel like losers as they find themselves doing more menial tasks.

Let me finish with an image of the primary leadership challenge that we're faced with. In the United States, at least, usually when we think of leadership we think of something that looks like this: We have one person we'll call the leader who tells others what to do and they're expected to do as they're told. Now, many people aspire to become a leader. They want to be in that prestigious position. Unfortunately, they still have this top-down view. They haven't made the paradigm shift, and so we end up with organizations that follow this concept of leadership—with only one person rowing and the rest all giving orders. Now, if you've ever been that poor person on the other end, the rower, it's not a very comfortable position in which to be.

Thank you.

PROFITING FROM THOSE WE UNDERESTIMATE: DISSENT AND INNOVATION

Charlan Nemeth, Professor
Department of Psychology
University of California, Berkeley

A group already interested in "Leading the Agile Organization" knows the importance of flexibility, good judgment, and creativity. These are not easily accomplished, however. Some elements have been found to be clearly important, among them, 1) the ability to break "set" (the tendency to use old solutions to new problems), 2) a willingness to search for information and to process it in relatively unbiased ways, 3) a consideration of the issue from multiple perspectives, and 4) even (especially for creativity) an ability to "play" with ideas—this being often served by "blind variation." And, often, an important but overlooked element is asking the right questions. This may be aided by a process that Albert Axent Gyorgyi described as the process of "seeing what everybody has seen and thinking what nobody has thought." I'm also reminded of Owen Chamberlain's comment (the Nobel laureate who found the antiproton) that he wasn't smarter than others, but he had a sense of the right questions.

In this context, I am reminded of Stephen Hawkings' observation in *A Brief History of Time* that we rarely think about what is around us—about the gravity that glues us to an Earth that would otherwise send us spinning into space—nor wondering, as do children, "what a black hole looks like... why we remember the past and not the future; how it is, if there was chaos early, that there is apparently order today." Perhaps this is why researchers often refer to highly creative people as childlike though not childish.

When we ask ourselves how we can achieve flexibility, the proper posing of questions, good decision making, and creativity, we might wonder, "Is it simply a question of intelligence, a motivation to be 'open,' instructions on how to go about decision making?" They sound like solutions, but, in my judgment, are overblown. Let's consider intelligence: We often tend to assume that stupid decisions are made by stupid people—and yet there are numerous examples (e.g., major cabinet-level policy making) where the "best and the brightest" made decisions that turned out to be major fiascoes, e.g., the Bay of Pigs. When it comes to creativity, it may come as a surprise to you that, after a certain level (i.e., average intelligence), intelligence and creativity are orthogonal, that is, unrelated. And the "simple" processes such as searching for information? We find that people, especially those convinced of the truth of their position, are often unwilling to avail themselves of important pertinent information. For example, in the Bay of Pigs "decision making," a contingency plan involved traversing several hundred miles of swamp (a plan that obviously failed)—a fact that could easily have been discerned from consulting an atlas.

In social psychology, we have learned that influence processes play a considerable role in whether we reassess our views, search for information, and think in divergent or creative ways. Influence processes also often determine how correct the solutions are that we reach, especially in small groups. Influence processes are both the cause, the culprit, and, I maintain, the possible solution. In general, groups are sub-optimal in performance. They perform somewhat above the average individual and somewhat below the "best" individual. The question is why, and what is the best "antidote." You will hear a lot about leadership, about participant decision making, about "corporate culture" and cohesiveness—but I want to suggest to you that, my main point today, we need to fear status, power, and majority viewpoints. As Rousseau argued: "Keep this truth ever before you—ignorance never did anyone any harm, error alone is fatal and we do not lose our way through ignorance but through self-confidence." The problem with status and majorities is:

(1) They tend to get people to adopt their viewpoints, right or wrong. Literally hundreds of studies show the power of majority views even when incorrect. People will abdicate the information even from their own senses, e.g., in judging the length of lines, and follow a majority view. Partly they do this because they believe that truth lies in numbers but partly they conform because they fear rejection and dislike from maintaining a "minority" or "deviant" viewpoint. I wish I could tell you that this is an baseless fear but it is not. As John Locke reminded us: "New opinions are always suspected and usually opposed, without other reason, but because they are not already common."

(2) Status, power, and majorities not only gain adoption of their position but they shape the ways people think such that the thought is focused and narrow (i.e., convergent) from the perspective posed by the majority or those in power.

(3) Majorities also control by the threat of exclusion. There is a reason why "outsiders" in organizational settings show less commitment, more absentee-ism, and higher turnover rates. This "outsider" status may be a function of social categories, e.g., females or African Americans, but can also be a function of the representation within the workplace. It can also be a function of viewpoint.

(4) Finally, this tendency for people to exclude outsiders is part of a general tendency for people to like and to seek "similar" others and leads to a polarization of viewpoints. There is a very substantial literature showing that discussion among "like minded" people leads to a polarization or exaggeration of their views. Thus, through interaction between similar others, you can get extreme views, ones held with great confidence and ones unlikely to shift with subtly changing characteristics.

My second main point is more optimistic and that is that we should "welcome and not fear the voices of dissent" (Fulbright). My own research over the past 20 years is that minority views and, in particular, consistent minority dissent are extremely powerful correctives. They stem the likelihood of unreflective conformity. Even when wrong, a dissenter frees others from the power of the majority (J. S. Mills would say the "tyranny" of the majority) and permits them to make more independent and correct judgments. Perhaps more importantly, minority dissent actually stimulates people to think in more divergent ways and in more creative ways. We have considerable evidence that people search for more information, process it in more unbiased ways, use multiple strategies for problem solving, and detect correct solutions that otherwise would have gone undetected as a result of exposure to minority dissent. Importantly, this process occurs whether or not the minority view is correct. In other words, the value of minority views is not simply that they may be correct; even when incorrect, they serve the detection of truth and the quality of judgment.

It is important to recognize that consistent minority dissent is not achieved at the simple level of diversity of categories. Social categories may but do not necessarily reflect differing viewpoints and it is important to recognize that dissent requires the expression of those dissenting views. We know that social embarrassment, conformist pressures and concerns about "fitting in" tend to thwart the expression of such differing views. Finally, diversity of social categories can bring in considerations of ingroup-outgroup, with a well known tendency for ingroup bias and outgroup derogation.

However, I leave you with some general caveats:

1. Dissent in general raises the possibility that one may be wrong and we hypothesize and find evidence for the fact that disagreement from either a majority or a minority stimulates thought. However, as John Locke reminds us, "It is one thing to show a man that he is in error and another to put him in possession of truth."

2. The problem with majority views is that they are presumed to be true—perhaps aided by a style that Mark Twain describes as the "calm confidence of a Christian with four aces." As such, the thought focuses on that perspective.

3. The minority, by contrast, stimulates divergent thought about the issue—not the minority's message. Perhaps we are more likely to think about the atoms of which we are made or the lives led by people in poverty when there is discussion and dissent, especially consistent minority dissent.

I suspect that too often we concentrate on the lack of efficiency or the discomfort that minority dissent raises—as Oscar Wilde said, "We dislike arguments of any kind; they are always vulgar and often convincing," but "welcoming... the voices of dissent" we can perhaps find the wonderment of exploration and raise the level of thought and decision making.

THE CRITICAL FEATURES OF INNOVATION

André Delbecq, Professor
Santa Clara University

Good afternoon. I've had an adventure that I want to share with you, my experience in Silicon Valley studying innovation. However, the story is not only about behavior unique to Silicon Valley. For example, my own involvement with innovation began when James Webb invited me to join colleagues to study innovation in aerospace. He was convinced that one of the spin-offs from NASA should be the lessons learned about managing projects, an equally important societal contribution with landing someone on the moon. Thus, the history of innovation and organization precedes Silicon Valley. But most would argue that its incorporation into organization life reached its apex in the Valley's High Technology complex.

Imagine that you had the opportunity to be Margaret Mead and could put on your tennis shoes and sun helmet and just live with and observe the techies at Sun Microsystem, at Netscape, at Genetech, at Hewlett Packard (HP), at IBM Research Park, at Xerox Park, etc., and actually see how they spend their days. That's exactly the opportunity I had when I moved to Silicon Valley from the University of Wisconsin, Madison. Upon arrival, if I stood on the roof of my office, I could look out over the low-rise buildings of Silicon Valley and with my naked eye I could see a business complex containing more economic worth than could be found in the entire Great Lakes industrial basin. And I thought, "What do they do out there that creates this dynamic industry? How do they live in a world where the average product development cycle is 36 months and the average product life cycle is 12 to 18 months? It takes them longer to create the product than the amount of time the product has economic value in the marketplace. How do they do it?"

The preeminent finding is that innovation within these organizations is bottom up. It's the engineer or technician close to a need and to a problem, someone possessing "local knowledge," who is the key. An individual who has been working with a problem for some time, thinking about it, engaging in trial-and-error efforts, etc., it's those people in the heart of the organization who drive innovation. It is absolutely not a function of Scott McNealy being brilliant at Sun or Bill Packard being a genius at HP which is the key. These CEOs are exceptional people to be sure, but the key is they have created and enabled organizations where at all levels individuals are empowered to have the same sense of work as play that they possessed early in their own career. They have created organizations where people who are close to knowledge are the main innovators.

Let me illustrate by a story taken from innovation in health care told by Leland Kaiser, a wonderful teacher of health-care innovation. A consultant was invited by the president, vice president, and executive committee of a medical center to help them do a turn-around. He asked, "Who will I be working with?" and they said, "Us." He replied, "You don't have a chance." The consultant went out and pasted signs all around the medical center that said, "At 11:00 Our Lady of Misery Hospital will meet to decide what innovations we must undertake to survive. Would you like to attend?" Two hundred people came to the auditorium. The consultant then said, "Now you have a chance."

Adequate competitive innovation in a medical center requires innovation in registration, innovation in medical records, innovation in laboratory procedures, innovation in primary care, innovation in health education, innovation in core medical services, etc. It requires innovation at every level, for every function, every interstice. It's not a few things in one or two medical departments that a contemporary medical center must focus on; rather, it's the need for innovation in all the parts of the organization that must be enabled. And no hierarchical figure or executive is smart enough to know how to diagnose the need for and implement innovation in all the parts of the health care organization. He/she must rely on the people who are embedded in each particular part of the organization. Thus, the pivotal finding with respect to innovation is that the actions that are necessary must be enabled in the unit and by the workers who are close to a particular set of challenges.

So we are now faced with an interesting question. What do deans do? What does top management do? What do senior administrators do to contribute to the innovation story?

There are a few things you must do at the senior levels of the organization. First, you must help create a sense of directionality. How do you create strategic direction without being a tyrant or restrictive of the creativity of lower level participants? The answer is, you do so through sending the members of the organization themselves to do environmental scouting. Scouting is an important word to put in your vocabulary about innovation. Its main purpose is to discover the entire network of detailed information about marketplaces, about competitors, about changes in technology, and parallel practices in other industries.

From every level and function of your organization you send scouts to visit centers of technology, centers of science, and the various subgroups you will be serving. As you begin to aggregate this scouting information a sense of overall directional vision begins to emerge. Thus directional vision is no longer a numerical plan based on the extrapolation of prior performance carried forward to the future. It is rather the additive judgments of many organizational members who bring back to the dialogue within the organization information that calibrates emerging external trends.

Top management's role, then, is to manage the dialogue with respective strategic planning groups analyzing and synthesizing the scouting information that contains many of the important clues regarding an unfolding future. Then this information must be related to the organization's core competencies and its own directionality. Based on this stimulation of search behavior and the integration of this information, one begins to receive proposals for focusing on needed changes within many parts of the organization. There is a management process associated with managing the energy created by scouting and directional planning, and that process is largely associated with phased innovation. The classic phases are Feasibility Studies, Pilot Tests, and Implementation Designs.

In the Feasibility study phase the two most important efforts are: 1) getting information from users, and 2) getting information from wise and experienced experts, people who have already tried some partial solutions ahead of you. With respect to user/client information, sixty percent of the attributes of successful innovations that make the innovation user friendly and lead to adoption are suggested to you by the people you're trying to serve. In all the great stories of innovation breakthroughs come from a new and more precise understanding of user/client needs (that other organizations are not addressing) and then solving these needs through technical solutions that provide distinguished benefits.

Better than 58% of the technical solution elements contained in successful innovation solutions come from discovering solution elements that already exist; thus innovation does not require total new invention, you often borrow solution elements and recombine them with your own contribution to better serve the client. An example of creative solution borrowing or discovery of transferable solution elements can be given from a medical example. I have a colleague who is a medical researcher developing a decision-tree process for women who have breast cancer. To help these women make decisions, he borrowed solution attributes for decision-making under stress by studying football quarterbacks and military officers in combat conditions. It's such playful parallel thinking and discoveries coming from talking to all kinds of related experts who suggest transferable lessons that creates the development of elegant and creative innovations.

Herbert Simon at Stanford University, the Nobel Prize recipient, admonishes that search behavior is far more important that brilliance. It's obtaining that diversity of information through scouting, exploring needs with the client/user, and discovering partial solution elements in dialog with outside organizational experts that makes the big difference in innovation success. Thus, Feasibility Studies are primarily search behavior directed at identifying the problem elements clients/users are struggling with, and then discovering solution elements that can be recombined into a useful innovative way to respond to the problem challenges.

When you think you have a solution design the foolish mistake is to attempt to implement the design all at once untested. The next intermediate stage is Pilot Testing. Within the Pilot there are alpha and beta phases of experimentation. At the alpha stage, you test the Feasibility Design with early innovator clients/users who want to experiment with your untested solution almost as much as you. Together you will debug and co-create a revised design. It is with these co-creators that you engage in timely trial and error learning. If you wait until you have a perfect theoretical design, it's too late to have a competitive and timely solution. On the other hand, if you take an imperfect design to the general public you have egg on your face. These early innovators become your partners in design refinement.

Only then should you expose the emerging design to average users as your beta site adopters. With these average users you learn the kind of teaching, training, support, service and assistance that is necessary to support later adopters of your new innovation. You always discover more support is necessary than you anticipated when first exposing average people to your innovation. This is the value of beta sites. If you go from testing with people who are very adroit directly to diffusing the innovation without identifying service requirements, you get into enormous problems.

When it comes to final implementation, you face still another strategic choice. Studies by the Small Business Adminstration and studies at MIT show that small, incremental, hesitant implementation has modest economic return and very little impact on the market. This would suggest that when you have a winning innovation you need an aggressive implementation plan. On the other hand, if the innovation does not have potential for great market penetration, then a more conservative niche marking approach is more appropriate. (Decision rules for determining the appropriate strategies for broad scale implementation and technology transfer are something we will talk more about in the forthcoming workshop.)

So to summarize, the critical features of innovation discussed thus far are scouting, aggregation of scouting insights into directional vision, and phased innovation through Feasibility, Pilot, and Implementation stages. These are the foci of the forthcoming workshop.

In our remaining time I would like to return to the issue of decentralization and the question of who are the innovators in high-performing organizations. Are they right-brained, left-brained, of average intelligence, of superior intelligence, first born, second born, or later born? In fact, innovators are not distinguished so much by personality as by passion and energy. The answer to who are the innovators in high-performing organizations is they are volunteers.

This requires you to create organizational arrangements that depart from the hierarchical command tradition. An organizational setting where, if someone says, "I'm excited about innovating in this area!", you make it very easy for each individual to be empowered to innovate and to bid for innovation resources. Our earlier discussion of innovation phases depends on the action of empowered individuals. Let's start with approval processes. The perfect application form for innovation funds to support a Feasibility study is one sheet of paper that answers three questions: What do you want to do? Who's going to work with you? And why does it excite you? There is a clear inverse relationship between the complexity of application processes in early phases of innovation and rates of innovation. The more you distribute easily accessed mini-grants in the organization, the greater the probability that volunteers will come forward when they see a connection between their search behavior, environmental change, etc., and the needs for innovation within the organization. In the organizations that I study, complicated processes to access modest funds for feasibility studies or the requirement for formal business plans as early phases of innovation stifle innovation.

If one receives approval to do a Feasibility Study, and then to go forward to conduct a Pilot Study, the next concern is the presence of slack time to match slack funds. Matrix Management failed, not only because of problems of duality of power, but predominantly because of the time overload which burdened those

81

trying to do innovation while at the same time continuing to do their everyday work. We have learned that you have to give time resources to people at critical moments of innovation so they can really focus energy on the project. The label often used is "heavyweight teams," implying teams with the mandate and time resources to struggle with the unexpected difficulties of innovation. We have to move away from seeing innovative work as something you do as an overload on top of all your present duties. In high-performing organizations, innovation represents a legitimate portion of the work role. Especially during pilot and implementation phases, innovation requires you to reallocate your efforts away from the press every day duties.

To summarize, ease of access to slack resources through uncomplicated proposal processes and actual slack time allocated in support of innovation are organizational level commitments that support innovation.

Of course it is not simply a resource question. Equally important is a culture that supports innovation as an organizational priority. The essence of the culture's story line is the following: I'm going to hire bright people, I'm going to support through training and development evolution world class skills, I'm going to provide opportunities for outside scouting to uncover world-class information, I'm going to make it simple for people to apply for modest funds in support of early phases of innovation, and time during later phases, I'm going to let innovators work in teams which address critical innovative tasks, and I'm going to get out of their way. The message you would like employees to communicate to their friends is that "My organization is structured to enable me to continue to work at the frontiers of new challenges." Contrary to such a culture is risk aversion, formalization, excessive review, and especially criticism directed toward those who encounter difficulties in the innovation journey. So in our workshop we will be addressing the nature of innovation pressures in our contemporary work place, the characteristics of the classic phases of innovation, the structures an organization can put in place to easily enable individuals to receive a mandate and support, and the cultural context of innovative settings.

Thank you very much.

LEARNING HOW TO LEARN

Jim Harris, Management Consultant
Strategic Advantage, Inc.

The only way we truly learn is as a team, through other people. It took humanity some hundreds of thousands of years to develop language and, yet, today children are speaking by the time they are two. It took us another fifty or sixty thousand years to develop written language. But by the time children are five years old they read and write. That child stands on the shoulders of 150,000 years of human development without even knowing it. Everything that I am is the product of entire generations before me. I only learn through others.

In the same way, we can't learn things in our institutions except for as a team. Principles, such as Einstein's $E=MC^2$, exist in nature prior to our uncovering them. But it is only through the interaction of teams that new ideas are formed—for instance, the presentations here today stimulated me to think in ways I've never thought before, and I've been enriched by the people to whom I've listened. I would not have had those thoughts had it not been for them.

Ninety-five percent of Sun Microsystem's revenues come from products that weren't commercially available 18 months ago. That's the pace of change we're dealing with and it is changing the way we work. Eighty percent of the technology you and I will use in our day-to-day lives in just 20 years hasn't been invented yet. Just think about the automatic teller machine. It didn't exist 20 years ago, but would you deal now with any financial institution that wasn't on Interac or Cirrus? No way. I have a notebook computer that weighs less than six pounds that has more raw processing power than a mainframe of only 15 years ago did. The examples go on and on.

So how can I take a course today that will prepare me for the future when the future hasn't been invented yet? The only way that I can prepare for the future is by learning how to learn. Learning how to work as a team, learning how to be innovative. It's meta-learning. This is the essence of what the future is.

Success is a function of two things. To use a baseball analogy, it's a function of our batting average—I could have a 1,000 batting average: I hit every time at bat, but I'm only at bat once a year. Or I could have a 250 batting average and get to bat 400 times a year. Who is more valuable to the team?

You see, perfection or progress, which are we interested in? If you want to increase your success rate, increase your failure rate. Babe Ruth had the most number of home runs, but he also had the most number of strike-outs. And Bill Gates has a list of failures longer than my arm. It's all just times at bat. Don't bet the whole farm on every time. Many small iterations. We have to increase our tolerance for pain and failure, which means we have to increase our tolerance for the fear of the learning paradox and get back to what has already been referred to as that childlike nature of creativity and the excitement and the joy of learning. When we get to that, it will become fairly exciting.

Thank you. I look forward to the sessions.

PROGRAM SESSION III
SCHOLARLY COMMUNICATION AND TECHNOLOGY

INTRODUCTION

Richard Ekman, Secretary
The Andrew W. Mellon Foundation

PRESIDENT CLINE: Good morning. The panel awaiting us here this morning will provide us with some information on several works in progress. Each of these works in progress have the intent and purpose of changing scholarly communication to develop directions for integrating electronic resources in our research libraries, and to provide support so that we can investigate or explore the changing cost of meeting information needs for researchers and scholars.

I encourage you to look at these projects in light of the prospects that they may offer each of us at our respective institutions to advance our own strategic directions. Considering how these efforts provide insight will increase our understanding of the risks as well as of the opportunities, enabling us to more effectively support scholarship. We will need to think about how such efforts can be expanded and modified in order to shape the digital environment that supports research and learning.

At this point it is my pleasure to turn this morning's program over to Richard Ekman, Secretary of The Andrew W. Mellon Foundation.

MR. EKMAN: Thank you, Nancy, and good morning.

Here, in this company, I confess to feeling that I am among the converted—that is, among people who already understand the predicament of both scholarly publishers and research libraries. This predicament is often characterized by an anxiety over rising costs, the risk that ever smaller numbers of books and journals will be produced in the future at affordable prices, and the specter of fewer outlets for the dissemination of the results of scholarly research. Here, among the converted, there is already genuine—and widespread—willingness to try electronic alternatives to traditional publishing and library operations. I suspect that we all fervently hope to find ways to contain costs, to increase access, and, in other ways, to preserve a viable system of scholarly communication.

My suspicion, however, is that most of us have been acting on the basis of intuition or blind faith more than on the basis of hard knowledge about what actually works. A number of recent, well-publicized technological innovations have intrigued us, but do we really know the answers to such questions as:

- What are the initial start-up costs of electronic forms of scholarly communication?
- What are the continuing costs of sustaining these innovations?
- Are users willing to pay to sustain them, and at what price levels?
- Will faculty members regard electronic ways of doing research as convenient?
- Will faculty members regard the electronic results of scholarship done in this way as legitimate, and as good bases for judgments about promotion and tenure?
- The ultimate question, I suppose, is whether those in authority on campus will be persuaded by the evidence to reallocate funds or to reorganize functions so that the promise of the new technologies can be fulfilled in an ongoing, institutionalized way?

A number of organizations have in recent years been supporting "controlled experiments" in the use of technology in scholarly communication, and they are trying to document in sufficient detail what has transpired, in the belief that skeptical colleagues will be persuaded that the alternatives are worth pursuing. The National Science Foundation, the Coalition for Networked Information, the Commission on Preservation and Access, the National Digital Library Federation, and The Andrew W. Mellon Foundation, among others, all have initiatives along these lines. Yet it would not be correct to assume that external funding is the only way in which such experiments can be launched. I hear frequently about individual educational institutions that have mounted well-conceived and ambitious efforts to apply a particular technology to a specific aspect of library or publishing operations.

Our efforts at the Foundation began several years ago with an emphasis on journals, which we then regarded as the most obvious—and in many ways the simplest—format for experimenting with electronic alternatives. (We were naive about the simplicity, I can say with hindsight!) We then moved to electronic equivalents of books—both reference books and monographs—and have more recently considered projects based on other formats of scholarly information. At present, I am in active correspondence with people whose projects involve rare editions of American literature, medieval manuscripts, conference proceedings, musical scores and recordings, and art images.

The first "lessons" of these experiments are just beginning to be evident. Today, we will hear from representatives of three projects that began only a year or two ago. They will all tell you, I'm sure, that it took longer to get started than anticipated and that their "results" so far can be reported today only in the most tentative way. But the fact is that we *are* beginning to learn something about ongoing costs, the best pricing schemes, how electronic versions of scholarly materials are used, and who among the various constituencies of academic publishing and libraries are especially interested in using which kinds of materials. Our speakers may also venture to say something about the differences they've noticed among fields and among formats of material.

For my part, I will hazard only two tentative conclusions based on what I've seen in these and other projects. The first is that the most imaginative and successful projects are often those in which innovative collaborative arrangements are made among libraries, presses, computer centers, learned societies, and other entities. These "hybrid" organizations do seem to be better positioned to take advantage of the new technologies. My second tentative generalization is that scale matters: it is very difficult for a small organization—such as a learned society that publishes one journal—to make the big investments in equipment, marketing, and expert personnel that are necessary to begin an electronic operation.

I've asked today's speakers to try to focus their presentations on each project's initial objectives, the testable propositions that were laid out at the beginning, a description of activities to date, and a summary of tentative findings. Jim Neal will describe Johns Hopkins' Project Muse, which is concerned exclusively with journals. Carol Mandel will discuss Columbia's Online Books Evaluation Project, which is concerned with a variety of types of books. Sue Rosenblatt will speak about Project SCAN, Scholarship from California on the Net, which is concerned with both books and journals. I'm pleased that these three individuals have agreed to share their interim progress reports in such a public way, because these are three highly significant experiments in the use of technology in scholarly communication.

COLUMBIA UNIVERSITY'S ONLINE BOOKS EVALUATION PROJECT

Carol Mandel, Deputy University Librarian
Columbia University

Thank you for welcoming me here today. My presentation this morning is about books, a rather familiar topic to this audience. But what we are finding in the Online Books Evaluation Project at Columbia University is that we still have a few new things to learn about books and their use.

We already know that books are used in a variety of ways. You may recall that, when asked about the usefulness of books, Mark Twain observed that a leather-bound volume was an excellent razor strap, a thin book was good for fixing a broken table leg and a thick heavy book was ideal for throwing at a noisy cat. We are amused by Twain's remark because we think that a book is important not for its form, which he was emphasizing, but for its content. But the relationship of object to content is complex.

A print book is a known package with a title page, pages, and chapters. It has been scaled to human needs and perfected over centuries of use. The advantages of moving book content out of this likable package and onto a computer screen are not immediately evident. Thus, the Online Books Project is focused more on evaluation and product development than it is on production. And, so, at the heart of our evaluation project are the questions: What is an online book? Why would anyone want to use one?

How will we find that out? For the project we are repackaging books for online delivery from typesetting tapes. It is an interesting experience. We don't want to recreate the electronic text and redo copy-editing. So we must address the problem of legacy systems. We are definitely working with publishers who have legacy systems and we're not trying to change that at this point.

We are making these electronic texts available to the Columbia University community, and we will then study how they are used. We will analyze the costs of development, delivery, and use, and we will relate that use to the kind of environment in which our users are working, their level of computer sophistication, to intellectual property features, and to system features.

Publisher Partners

The books come from a number of publisher partners. We began our work with Columbia University Press. We have been working with them for a while, putting reference books online. With the Columbia Press we became very interested in what other kinds of book formats would work online. We are starting to think that different kinds of books will need different kinds of products.

We are also working with Oxford University Press. The Oxford University Press has a very specific set of issues. They are interested in trying to rescue the scholarly monograph, and finding out whether there are aspects of online delivery that can make the scholarly monograph economically feasible. So that is another area we are studying.

I'm pleased to note that Garland Publishers joined our project a couple of weeks ago. They have a different perspective, as well. They publish specialized encyclopedias as well as anthologies and specialized monographs. They wonder if, by linking these products and creating new hyperlinked databases from them, they can create a new product.

We have some titles from Simon & Schuster in higher education, essentially from Prentice-Hall, that we are also trying to work with, selecting high-use titles. For comparison, we have on our network, as many of you do, a set of humanities texts: texts that are used in our core curriculum. Notice I use the word "texts." We tend to think of these things more as texts than books because they are "classic" content. But they are, after all, books and we want to study their use in comparison to other kinds of books.

Environment

I think it is important to note that we're putting up these books in the context of our overall program of digital library services, which includes a broader digital university concept of services. That the scholarly content piece is a part of that is particularly important because many of these books will initially be used more in instructional roles than just in typical take-the-book-out-and-read-it kinds of roles. We're working with faculty because we want to see how these books are used in instruction, giving us an opportunity to compare the way the digital texts are used with the other kinds of instructional support tools that we have made available electronically.

Another important part of our environment is the wide availability of network access and that we make a point of creating public access to the Web and its services throughout the campus. What's important here is that we are aiming for ubiquitous delivery of these online books. We aim to deliver them in a format that anyone can use anywhere, and what that essentially means, at the moment, is web browser technology. It may be something else later. But the point is, we are trying to deliver these in a way that everyone will have the interface to use it and specialized software won't need to be developed.

Something that we do have on our campus that isn't as universal is a Kerberos network authentication system that we have used for some time for verified access to our information resources. From that we have built, over recent years, a very full user database, so that we have demographics on our users and we can match users to uses. This will be very important in our evaluation. By this summer (it is currently being tested) we will have developed a way of linking that user database and authenticated sessions to our web delivery, so that we won't just measure a "hit" for a web use, but we will know that the hit is a use of a particular book and which hits were linked to that person, etc.

Testable Propositions

Mr. Ekman asked us to talk about our testable propositions, so I will just list some of the key questions that we have. Of course, we want to know whether online books will complement print ones, will replace them, or will not be used at all. We want to know which formats and what kinds of books they'll be used for and by what kinds of users. We also are trying to look at the impact of book use on users, and are asking users if they feel that online books help them be more productive or more effective. We want to look at who will be using online books and who will be the early and who the late adopters.

We have begun a study of the life cycle cost of online and paper books. We will also be looking at the implications of intellectual property regulations and commercial traditions. That word "traditions" is particularly important because publishers have a certain perspective on how things should be delivered. In fact, publishers have their own set of questions. They're interested in all the questions we're interested in, but they also have their own. They're in this because they want to understand how to package and market online versions of books, and want to find out what, ultimately, the product will be, an answer that is much more straightforward, I think, for journals than for books.

Oxford University Press, as I mentioned, is particularly interested in whether there are ways in which online delivery can save the scholarly monograph. One thing that they are examining is whether online versions can promote print sales. We'll be offering the ability to order a book online and then pay a discount price for the print version, looking at whether the online version might be a teaser or a promotional device for people who may want to pursue it further and buy it in print. Of course, publishers are also worried that online availability may just decrease print sales.

Oxford is also curious about what kinds of printing sales might result from electronic delivery. They would like to know, for instance, whether selling books by the chapter might become viable. Later I'll talk

87

a bit more about how technology is foiling us in that area. Finally, publishers want to find out if they can develop licensable products from this. And, of course, publishers are worried about whether authors will be willing to publish in online-only versions.

We have developed an evaluation plan with a matrix of evaluation methods. We will be studying eight classes of relevant variables.

We are interested in sharing our evaluation methodology with others. We have put it up on the Web and will continue to put up information because we are interested in having others replicate our studies. We are investing a lot in designing questionnaires and want to make them available for others to use. If you are interested in doing these kinds of studies, we would be happy to help.

Preliminary Findings

Mr. Ekman is anxious that we share some of our preliminary findings with you. Our first finding is something you already knew: that start up takes longer than we are capable of imagining. I mostly mention this to alert you that what I'm talking about are really trends and emerging issues more than findings at this point.

I do, though, have one conclusive result, because, of course, we're using print use as a benchmark and we don't have to worry about start-up with print, it's already out there. Our project coordinator, Mary Summerfield, has conducted a study of the use of print materials based on literature review and some studies of her own. One of the things she has found, and you probably know this intuitively, too, is that books are for use but not necessarily for reading. The statistics indicate just how infrequently people read.

So what are people doing with books? They're searching, they're browsing, and they're trying to assimilate the information in books. This bodes very well for online books because we know that it's not particularly comfortable to read on the screen. But it is fun and useful to do these other kinds of functions, and our work with potential and current users of online books is confirming that what they are seeking in an online book is functionality.

I believe that the future of online books is dependent upon the kind of system functionality that will be available. In fact, our users are telling us that. The future of online books is not in scanned bitmaps or in "silicon microfilm," it's in functionality. Again, this may be different from journals because for journals people are looking for a print server; if I can find my article and get my information and print it out, that's fine. But that's not what they want from books. So the kinds of features that we can deliver will be the deciding element in the user's choice between print and online. The importance of functionality, then, has affected us in the way we've looked at web browsers. We're not trying to put out specialized technology, we're trying for ubiquitous delivery. For a while at least, the success of online books and whether they work or not will be linked to the technology that's currently out there. Right now web browser functionality for books leaves something to be desired in certain aspects, particularly navigation and referencing. It's hard to navigate books, it's hard to know where pages are, and it's hard to cite them. It's a problem.

This leads us to the realization that the success of online books will really be determined by things that we can't plan: unplanned system features and some unexpected human factors. Agility is important in planning, in terms of seeing what the best developments are and seizing on them and shaping them, because we won't be able to control this aspect.

I want to give you just a couple of examples in terms of system features. As I said, Oxford University Press came into this project with a set idea of printing as an intrinsic part of what the product of an online book would be. Potentially they would like to charge for printing and would like to sell books by the chapter. When we started talking about this a couple of years ago it seemed possible to control printing in this way. We knew we couldn't control screen prints, but those were screen prints, and we thought we could control printing. Well, in an HTML web environment there is a print function that we're not about to disable on campus, from which some pretty nice printing can be done that can't be monitored at all. You can't tell whether people are reading or printing text. This is really a site-licensing mode, it's not a print-packaging mode. We're still struggling with this for Oxford. We may discover other ways of making printing available and see if we can make them attractive enough to interest users. But I think technology is telling us that this is not a direction in which we will be able to go.

In terms of unexpected human factors, user acceptance is really one of things we can't predict. Here I want to compare online books to another online instructional product that we've created. One of the most popular services that we have put up this year on our digital library has been a collection of art reserve images. Under the Columbia core curriculum requirement, all first- and second-year students are taking many of the same courses. The Art Humanities course then has a set body of images that are studied in all the classes. We have put those images online—that is, the ones we could get intellectual property rights for—and it's a very popular resource. In a typical week there are approximately 3,000 hits on that system. During exam week there were 29,000 hits on that database. So the students are definitely using those images to study from.

We worked with the instructors to put that up. The instructors love it. The students love it. And we thought, well, this is a good model. So we went to the literature humanities instructors and said, "Hey, we have these core texts online. Wouldn't you like to use them, and how can we do that?" And they said, "We'd have to change all our assignments because the students have the books, you see. They don't need these texts to study from." To take advantage of the functionality of the texts they would have to change the way they taught and the kinds of assignments they gave, whereas the art instructors didn't have to change anything they were doing, they could just point to the images. These literature instructors are mostly junior faculty and graduate students who can't really invest in curriculum development at this time in their careers, so we're going to go next to the senior faculty who are in charge of this curriculum and work with them. We've discovered in other fields, particularly the sciences, that these are the people who have the time to work with curriculum change. This is an example of human nature relating to the acceptance of these tools, something we just can't predict.

My final observation is one that Ursula Bollini of Oxford Press recently made when we gave presentations at the CNI meeting. At the end of this project's time frame online books will not yet be a widely available commercial product. I feel confident in this finding now. I guess that's related to our first finding about start-up. Again, this is in contrast to online journals, which are already proliferating. The translation from paper to online will be more complex for books and it is unlikely to be a one-for-one replacement of digital for paper. Perhaps this makes our project an "unnatural" experiment, rather than the natural experiments that the Mellon Foundation had in mind. In any case, to end this talk with a book analogy, we'll need to keep reading right up to the end to see how this plot turns out.

Thank you.

PROJECT MUSE

James G. Neal, Eisenhower Library Director
Johns Hopkins University

I've been asked to talk about Project MUSE, which I have come to refer to as an adventure in scholarly publishing. I think it's important to remember what Mark Twain said when telegraph service was established between the coasts of the United States. He said, "Maine has contacted San Francisco, but Maine has nothing to say to San Francisco." That is very much at the root of what we are trying to do with the Project MUSE initiative: to give that developing international network meaning and relevance.

We also recognize that not all the people on our campus understand and can properly work with the MUSE solution, particularly our scientists and engineers. Our acronym, Many Users in Scholarly Exchange, indicates that the database is meant to allow you to use what you will.

My objectives here this morning are to describe the origins and objectives of the project; to summarize our current status and some of our short-term goals for expanding and improving the project; and to share some of our preliminary findings and observations.

Origins and Objectives

This project was launched several years ago with a set of objectives. The first clear objective was to make the 42 journals of the Johns Hopkins Press available electronically and to create a successful model for electronic scholarly publishing.

One of the primary interests we had was to increase access while decreasing serials costs at the same time. We wanted to provide not only access to what was in the journals but to add some significant value to searching those information sources in the academic community.

We particularly wanted to look at network-based, non-proprietary interfaces to both take advantage of what was being developed and to avoid investing too heavily in specialized proprietary products. We wanted to maximize the ability of a campus to distribute and duplicate scholarly information, so from the outset we've been very focused on intellectual property issues, which I'll later speak to in a little more detail. And we wanted to actively involve librarians in designing electronic scholarly communication, to develop the partnership between the press and the library. That has been a centerpiece of the Project MUSE initiative right from the start.

As we have moved from prototype to production, we have tried to build upon this cooperation between the library, the press, and the academic computing organization at Hopkins. It's important to recognize the early work that was done by Scott Bennett, the previous library director at Hopkins, and Jack Goellner, who was the director of the press during the conception and the successful launching of this project. Having that proper framework set up early is very much at the root of our success.

We were also successful because of the availability of three-year's funding from the Mellon Foundation and from the National Endowment for the Humanities to enable us to put this infrastructure in place and move it forward.

We wanted, at the outset, to build a library-based subscription model that would build on the traditional ways libraries gather journal-based information. We wanted to design HTML documents so that as many browsers as possible could use the documents easily. We've recognized that we're dealing with a volatile environment and we wanted to support all the systems that institutions and users would have.

We wanted to maximize the ability to search both individual serial titles as well as the entire database, the whole corpus of the 40-plus titles. Searching the entire database includes access to the table of contents or the titles with key-word and Boolean capabilities. We wanted to maximize the ability to get into this database and secure excellent results. We also wanted to be able to support, in any university environment, an unlimited number of simultaneous users. It's these ideas, as we have moved from prototype to production, that affected some of the technical and service decisions that we have made.

Throughout this process we have been very much influenced by some of the ideas that came out of the AAU/ARL initiative. As some of you may remember, there was an important effort in the early work of the AAU/ARL initiative to write out a set of functional and performance attributes for this technology. It's important to recognize that this collaboration in our ARL community is influencing the thinking that's going on in some of these electronic scholarly publishing projects. We want to be sure that we have ease of use and that we are providing information that is authentic. We want to have a process that enables, through eligibility devices, people on campus to use it. We want to control costs. We want to be innovative. These principles have always been at the forefront as we have planned the future development of this project.

Current Status

I mentioned the importance that we have placed on enabling expanded search and use capabilities. As I said, this includes the ability to search an individual title, the ability to search subsets for groups of titles, or the ability to search the entire database. Included is the ability to search tables of contents, the full text of all the articles, or assigned subject headings. We have contracted out the subject heading development for each of the articles in the journals, and this is coordinated by the library's cataloguing department. Each of these search strategies have both keyword and Boolean capabilities.

The search results that come back to the users—our faculty and students—shows the journal title, the volume, the issue, the author, and article title for all the items that meet the search terms. These results are then provided in a relevance-ranked order, so there is some commonality between how MUSE and how other web-based sources that people are using respond. Further, we have built hypertext links into the table of contents, the endnotes, the author biographies, and the illustrations that are part of the articles.

We have tried to design the text for easy on-screen reading, and, as much as possible, to enable people to consume this information by developing a comfort level with the screen rather than automatically printing. For instance, we are providing illustrations larger than those in the print version and, increasingly, those illustrations are being communicated in color.

We have, however, also tried to provide the ability to download and print the information easily. We are finding that we can deliver the electronic version of the articles as many as four weeks earlier than the print version actually enters the library. Speed of access, combined with the searchability of the information, creates a very powerful package of user support.

Another thing that we have been very focused on in developing and implementing this project is issues of enabling fair use. The library involvement in this project is most evidenced in the service side and in the fair use side. We are applying no limits on the number of simultaneous authorized campus users may be allowed. As many people as can get in can use it. People can download, save, and print articles for personal use. They can be applied to multiple-copy distribution for classes, as long as they're not sold for this purpose. People can print out articles and use that hard copy for inclusion in material selections. An unlimited number of copies can be put on reserve, whether they are paper or electronic. Notices can be placed on campus, in whatever network focus of interest, to inform users that these sources are available.

We are enabling subscribing libraries to download and save the materials locally to main servers, archiving it on CD-ROM or tape backup. The principle that we have tried to apply here—and have argued quite strenuously for—is that libraries own the materials to which they have subscribed. So if a subscription ends, ownership of the materials during the subscribing years is retained. We are also enabling interlibrary loan of articles based on the CONTU guidelines using facsimile page systems, electronic delivery, faxing, or photocopying. The only restriction that is currently in place is the electronic transmission of articles outside of the subscribing campus. We know that distinction is beginning to blur. This has been a very difficult issue, and one that the library and press sides of the project have strenuously debated. We are monitoring the situation very carefully and we're trying to weigh the interests of the journal sponsors, who have fundamental concerns in this area, against the needs and interests of the library subscribers. But I think you can see that there has been enormous progress made in developing and implementing this project and supporting the fair use and other rights of the subscribing libraries.

We're also trying to lay out a flexible subscription model with a whole variety of options. One thing we wanted to do right from the outset is not link print and electronic subscriptions. You do not have to have a print subscription in order to get the electronic version. As many of you know, we have a free trial access—an open searching capability, for private use—of the databases. Certainly from the library's point of view, it has been an opportunity for worldwide exposure to Project MUSE. And from the publishers' point of view, it has been an opportunity to reach a very important and expanding market of interest.

In terms of the economics, we had no basis on which to make projections. We did some preliminary analysis of the costs we thought we would experience and we started out by pricing the electronic versions of the journals 10 percent less than the print price. This enabled full domain institutional access. We also decided that, for the institution that subscribes to both the print and electronic versions, the price for both would be 130 percent of the print price. In addition, we have laid out very rigorous individual library as well as multi-campus consortial pricing plans. We are seeing enormous interest in consortial subscriptions, both from the current customer base for the press titles as well as from many new customers who are coming forward.

There is a transition pricing plan for 1996. We are trying to reduce the bureaucracy of getting campuses online by providing access through domain name and IP addresses. We have now over 250 subscribers to the current versions of 1996 online journals, and over 1,000 additional individual libraries are in discussion with us regarding a basis for access to use. So it's a very successful enterprise from both the presses' and libraries' points of view.

We see two reasons for libraries to come on board at this point. First, libraries are indicating to us that they want to demonstrate a vote of confidence for a project like MUSE because it is university based and there is library involvement. But perhaps more importantly, there is an interest in providing a positive campus experience with electronic publications, and libraries recognize MUSE as a package of journals that have a high reputation and for which good service and intellectual property provisions have been made.

I just wanted to talk a little bit about some technical considerations. We have determined, obviously, that the MUSE titles are best viewed with a graphical browser like Netscape or Mosaic, but we continue to support text-only browsers by Lynx. Our experience is that currently about 90 percent of the users are coming in with some type of Netscape browser, about five percent with Mosaic, about two percent with Lynx, and about three percent are coming in with as many as 70 other browsers. You can see the complexity of the environment in which we work.

We are currently seeking to conform to HTML 3.0 type specifications and we are indexing each journal with SWISH, the Simple Web Indexing System for Humans. We have made a major conversion change. We were looking and working initially with postscript HTML processes. Now we are trying to work with the typesetters themselves at the journals to try to ease the transition from the print base to the electronic distribution. That has produced some enormous economies in the conversion process. We then apply the in-house MUSE scripts, which upgrade the overall quality of the electronic text and content for each of the HTML files.

We have put together some very important per-article and per-issue production checklists and tracking capabilities, which is really facilitating the conversion, preparation, and proofing of the HTML documents that is done by the large student staff that has been integrated into the project. This typesetting to production efficiency and these types of management capabilities are demonstrating, at least for us, that the electronic cost of production is less, in fact, than the print cost of production.

We have also found that the initial investments we needed to make in order to get this up and running and to move from experimentation to production were less than we anticipated. Also, we did not expect to be at this point in terms of the number of journals we would have online and the number of subscribers that we would be supporting. Actually, we didn't expect to have what we're experiencing today to be in place until 1997.

We're investigating the Text Encoding Initiative and, of course as we've all indicated, the SGML content tagging capabilities. We provide start-up technical support on the server side, but because of the diversity of the university campus environments and the number of browsers that individuals are coming in with, we do not provide that support on the browser side. We are, however, tracking the network platforms, the browsers and their versions, of the visitors who are coming in, as well as of the users. As I indicated, it's predominantly Netscape and Mosaic. We have implemented a very dynamic allocation of the most appropriate HTML bandwidth pages for specific browsers or browser classes. So that when someone comes in, the system automatically responds to that browser and presents the information in the most effective and viewable way for that particular browser.

We are collecting an enormous amount of statistics, and subscribing libraries have automatic and immediate access to these statistics for their users. Article hits, image hits, hits on the table of contents, the number of times each journal is used, the ranking of the articles used, and the ranking of subscriber activity are all measured. So there's an extraordinary database of information that is being developed here, with implications on the library, consortial, and national levels.

We have created a robust cyber-IP database with robotic investigations and nightly updates. So making sure that the proper people and institutions are authorized is being increasingly managed by machine instead of through staff intervention. Because we're running this on a nightly basis, it's really built in a high level of efficiency and support for subscribing libraries. We are also getting regular reports on access denials and other responses that might indicate that an error has occurred. Those are automatically logged and sent to the appropriate staff member in the Project MUSE process for investigation.

We have also purchased an open-market secure commerce server that we think will be important down the line as we implement individual subscriptions and electronic document delivery. Our overall technical goals have been to use, as much as possible, standard non-proprietary software, to build in tools that enhance user support and that advance innovation. As the other speakers have indicated, this is a very complex and regularly changing technical environment, and our ability to be agile in applying some of these new technical capabilities will be critical to our success.

Short-Term Goals

What are we trying to do in the short term? We're trying to complete the implementation of what is now 40 Hopkins Press titles. We have an ongoing dialogue with the journal sponsors about the order in which these will move forward and we are anticipating that by the end of 1996 we will have all 40 journals in production, with all 1995 and 1996 issues in place.

We are seeing a rapid growth in the subscription base and we think that will continue through 1996. We had a preliminary goal of 500 subscriptions by the end of this year, and we think that there will probably be in excess of 1,000. We are now exploring options for expanding access to back files prior to 1995. We're looking at onshore and offshore, local and contract-out capabilities. We think that expanding the database beyond the current two years is very important.

Although this is a dynamic subscription environment, we're beginning to get a better handle on the economics of the scholarly publishing model. Our early projections of pricing electronic versions of journals at 90% of the print subscription price will probably be on target for these initial years. But only when the subscriber base expands and we apply technical efficiencies will we really get a firmer handle on what the economics of this will look like. The major concern, of course, that many of the journal sponsors bring is the ability to create a tenable income stream. So, over the next year we will look at how that factors into the overall economics of this process. There needs to be an acceptance of this medium for distribution and use in order for a project like MUSE to move forward, since we don't own, if you will, all the journals that we distribute.

We are in the process of implementing a very substantial online questionnaire which we are prompting all of the users of MUSE to take advantage of and we hope to gather a lot of user feedback over the course of the next year as more and more people provide us with that information. These very extensive use data are being collected and analyzed and is, as I indicated, provided to subscribing libraries. We are very interested in seeing how this project will influence collection development, management, and management behaviors.

We are promoting author awareness and creativity, convening not only user focus groups but also convening focus groups of authors so that they can begin to look at the audio and video capabilities and understand what it means when their products are in this type of environment. One way we are monitoring progress in this area is by paying attention to developments affecting the SGML content tagging, which we believe has some real potential in terms of enhancing certain types of titles and information. Also, we will look at implementing hypertext links to the references and datasets so that when one reads an article in Project MUSE and comes to the references at the end, there will be the ability to automatically move to the text of those referenced articles. This involves heavy negotiation with other journal publishers, one of the really exciting aspects of the project. The other, of course, is that in many journals there will be a set of data that is direcly linked to the findings. We want to be able to link users into data sets that are located at other sites, as well.

We now have to think in terms of the long run on how this project will continue as we move into very high production and an expanded environment. There are print journal publishers approaching us and asking about the prospective distribution of their titles in electronic form through MUSE, and we have an increasing number of people who are putting up or who are conceiving electronic journals and who want to use MUSE as the platform. That will enable us to create subject clusters so individuals can subscribe solely to higher-education titles, mathematics titles, or literary-analysis titles, for example. We are also looking at some editorial limitation, what we're calling Product Alpha, where we try to get rid of some of the current conventions that are in print journal literature. And, as I mentioned, we're looking at expanding to include individual subscriptions and document delivery of articles.

Preliminary Findings and Observations

My last point will be some preliminary observations. Subscriptions are predominantly to the entire MUSE database; we have very few libraries subscribing to individual titles. We are also finding that we are working with few individual libraries. In most cases, we are working with consortiums that are coming forward to negotiate access for all of their libraries, and, in one case, there is negotiation of a national license agreement with another country.

Libraries are adding hot links to MUSE from their online catalogues when that is possible. There is expanding interest in contacts with current print journals as well as with electronic journal producers about MUSE as an outlet for their titles. This has produced a very significant new customer base for Hopkins Press. Many of the individuals, particularly those coming in through consortiums, have no, or very few, current subscriptions to the Press' titles. In two of the large consortiums that we are currently implementing the MUSE Project, the average number of titles currently subscribed to in print in one consortium was eight, and 13 in the other. Remember, there are 40. So what we can present to the Press is a massive increase in their customer base, which still needs to be evaluated in terms of the long-term economics of this scholarly publishing model. We are also seeing extraordinary expansion in international interest. We have had hits on the Project MUSE home page, <http://muse.jhu.edu/muse.html>, from over 70 countries. So we're getting a lot of exposure to press titles that probably would not have been possible in the print environment.

There is concern coming from the journal sponsors about the future identity of the journal title, particularly when people are subscribing to MUSE. What happens to the journal title in that context? First, there is a need on the press side for technical support and customer service personnel that was not needed in the same way in the past. This will eventually have to be factored into the overall economic analysis about new types of and perhaps more staff involved in supporting this kind of access. Second, we also have recognized the need among the journal users for familiar elements. So, if you have looked at MUSE, you know that we have retained page numbers, for example. That's a small example of how we are building bridges of familiarity between the print and the electronic environments.

Conclusion

Let me conclude by drawing upon, again, the important work of AAU and ARL. This has been a very important for us as we have proceeded with Project MUSE. We are trying to foster a competitive market for scholarly publishing by providing realistic alternatives to the prevailing commercial publishing options. The IScAN proposal that we have been asked to look at by the ARL Board and the types of initiatives that have been presented here this morning indicate that there is considerable energy moving forward toward this goal. We need to develop policies of intellectual property management that emphasize broad and easy distribution and reuse of material. What I've tried to demonstrate is that Project MUSE is actively trying to define in new ways what intellectual property management and fair use mean in this electronic journal and publishing environment.

Innovative applications of available technologies that enrich and expand the available means for distribution of this research and scholarship are necessary. Through the types of searchability and accessibility that projects like MUSE present, I believe that we are supporting AAU and ARL interests. We want to assure that the channels of scholarly communication sustain quality material. I believe that as we bring new electronic journals into this Hopkins Press environment there will be the leveraging of that traditional quality that university presses bring.

Lastly, we want to make sure that there is permanent archiving of these research publications in digital formats. That, as the Commission/RLG report has indicated, represents a challenge for us in the next couple of years.

Thank you.

THE SCAN PROJECT

Susan F. Rosenblatt, Deputy Director of Libraries
University of California at Berkeley

The SCAN Project (Scholarship from California on the Net) is a collaborative project between the University of California Press and the Library at UC-Berkeley as well as the Division of Library Automation of the Office of the President and the libraries at UC-Irvine and UC-Los Angeles. SCAN, a pilot project designed to facilitate broad scholarly access to humanities journals, books, and related materials through publication on the Internet, has been one of the most interesting projects the Library has been involved in, and has greatly strengthened the relationship between the Press and the Library. The ultimate purpose is to draw together the resources of the university community to explore the potential of technology to support new methods of scholarly communication in teaching, learning, and research. It furthermore is designed to explore core issues relating to the future of scholarly publishing and university presses. SCAN has received generous funding from the Mellon Foundation, and is hosted on Berkeley's Sunsite for Digital Libraries, donated by Sun MicroSystems.

The Goal of the SCAN Project

SCAN's goal is to develop an economically viable publishing model for humanities scholarship that integrates electronic dissemination, library access, and scholarly use.

Progress to Date

We have created a prototype electronic edition of an existing print journal, *Nineteenth-Century Literature*, to test networked access from remote and local workstations, ease of use, searching tools, and cost recovery mechanisms. Five years of back issues of *Nineteenth Century Literature* have been mounted as *Nineenth-Century Literature—Electronic Edition;* current issues are mounted as they are published.

Later this year we will be mounting the full text of several books in nineteenth century studies, as well as primary source materials. Additional journals, books, and primary materials in nineteenth-century studies, history, and classics will be mounted in 1997.

SCAN's Objectives

SCAN has four major objectives:

1. It will mount on the Internet a base of electronic humanities journals, monographs, and digital reproductions of primary source materials in literary studies, classics, and history. This base will ultimately form the core of a database from which pieces can be combined and repackaged by individual users to meet a variety of specialized user needs.

2. In order to achieve the general goal of creating a large coherent database, the partners will develop and implement a suite of consistent Standard Generalized Markup Language Document Type Definitions (SGML DTDs) for these materials by using and modifying existing DTDs as necessary.

3. The project will conduct user studies among faculty and students to evaluate the use of SGML-based authoring tools, end-user systems for sophisticated searching and navigation, and the most appropriate content and access structures for such online information.

4. Cost recovery experiments will monitor and document both costs and ways for publishers to charge for access to electronic journals, monographs, and databases.

SCAN's Assumptions

In planning and carrying out the project, the Library and the Press wished to explore five general assumptions:

- First, we believed that the complementary missions, roles, and operational capabilities of the Press and the Library would strengthen the project and increase the likelihood of developing sustainable new scholarly paradigms for the Press and Library alike.

- Second, we believed that the economic pressures faced by both the Library and the Press threaten the process of scholarly communication itself, and that these pressures could best be mitigated through collaborative efforts.

- Third, we believed that new technologies offered possibilities to improve the delivery of scholarly information; to reduce its cost not just to libraries, but also to end-users; to protect the scholarly monograph; and to sustain the economic viability of university presses.

- Fourth, we believed that dissemination of research can be broader, more rapid, more sophisticated, and more integrated, and that improvements in the dissemination of scholarly information in the humanities can improve both research and teaching.

- Fifth, we believed it likely that in the electronic world the roles of author, publisher, librarian, and user of scholarly texts might begin to change, and, in some cases, to merge. We wanted especially to begin exploring new definitions of these various roles, particularly those of publisher and library, and to learn how the synergies of collaborative endeavors might change the entire process of scholarly communication.

Observations

We are now almost half-way through the project, and can begin to test these assumptions and others against some real-world experience.

Today, I would like to focus on three themes:

1. The economics and costs of the project—what we didn't know when we started, but have begun to learn.

2. How technology helps and hinders our progress, especially dealing with legacy systems, being overtaken by events, and how the need to choose among technical alternatives forces a reevaluation of values.

3. The partnership itself: Does collaboration work? Is there enough congruence of mission and values between the Press and the Library to make the partnership worthwhile?

Costs and Economics

We started the project with the assumption that electronic publishing could help both publishers and libraries to respond to economic pressures in the print world of scholarly publishing. There were several ways in which we thought this would happen.

We expected that the effective use of technology would reduce production and distribution costs incurred by the Press, that electronic publishing would expand the market for scholarly journals, that new pricing models would reduce costs to libraries, and that, possibly, new subsidiary and derivitave products could be developed through the inclusion of primary resources in the database created for the project.

As of now, production costs for the Press have only increased through the use of technology, and clearly we underestimated the cost and pace for implementing an operational system for online scholarly publishing. The technological efficiencies that the Press had, over the years, put in place to reduce production costs for the print journals have actually increased the costs of creating a digital publication workflow, and the Press must now either make sizeable one-time investments to retool the print production stream or retain both production streams as long as there is a print edition. This is a Hobson's choice that compromises the cost-effectiveness of online publishing as long as the necessity of retaining both forms of publishing continues.

We also underestimated start-up costs. This was particularly serious for the Press, but also a problem for the Library. The difficulties of implementing a research project to explore the transformative powers of technology at the same time that both organizations were undergoing unprecedented budgetary retrenchments cannot be overstated. In many ways, the Library's problems with this project were not as severe as those faced by the Press. Most importantly the gift from Sun Microsystems reduced the capital costs we had expected to contribute to SCAN by subsidizing the hardware for the project. In addition, since our externally-funded digital library projects complemented our SCAN project commitments, meeting the new project's goals has been congruent with our general direction in digital library research and demonstration. In contrast, for the Press the SCAN project was its first real-life, real-time, digital project. Moreover, the stakes are greater for the Press, as its very future depends on its ability to reduce costs, develop new markets, and support research.

Both organizations are understaffed and underfunded; to test fully the transformative possibilities of technology for scholarly publishing, we should have invested far more heavily at the outset to redesign the entire production flow, capitalizing on technologies for electronic publishing without jeopardizing the quality or increasing the ongoing costs of the print journals. But the downsizing and re-engineering processes that both the Press and the Library have undertaken as a result of six years of budget cuts reduced our flexibility to invest budget resources in or to add staff to the project.

Since the "real-world experience" of scholars using digital libraries will require a critical mass of information online, this project can only hint at the possibilities for changes in the patterns of use of scholarly information by scholars, in the introduction of new markets, and in pricing models based on use. If there were money to move more decisively and rapidly with a large-scale project, we would also have a better test-bed for the use studies and, most importantly, for the economic modelling itself.

Despite the small scale of the project, we are beginning to gather information about comparative usage of the electronic and print editions. Although one of our key assumptions was that electronic publishing would generate new markets for the product, we have been surprised at the results to date. We have found that usage of the electronic version of the journal is vastly greater that that of the print edition. The online version receives between 5,000 and 6,000 "hits" per month, while the print version receives approximately 40-50 recorded uses each quarter (it should be noted that print edition usage cannot be measured as reliably as can online usage). Implicitly, usage of the print version is primarily by faculty and students, since the general public is a very small portion of our clientele. In contrast, a significant proportion of the users of the online version come from non .edu domains. In addition, approximately 20% of the usage of the online edition comes from abroad.

At present, we have only quantitative measures of use; in a later phase of the project, we will conduct interviews and create focus groups to ascertain how patterns of usage may be changing.

Since use of the online version is currently free of charge, we cannot say for certain that there are expanded markets for the online scholarly journal. It is possible that the demand will be quite elastic, and usage will decline significantly as charges are imposed. However, the preliminary data would indicate a strong likelihood that there will be a greater volume of use for the online journal than there has been for the print version—and therefore a larger market over which costs can be spread. Licensing of the online journal will begin soon, and we will then be able to test various pricing schemes to learn how we might best capture a large base of users and generate revenues.

Technology as Helper and Hindrance

Legacy Systems

The SCAN project has dramatically demonstrated to us that, paradoxically, even the most efficient use of technology can increase costs and slow the process of change. The Press had used automated production systems for many years, and these systems were highly customized to the needs of the individual journals and the capabilities of the printers. Since the text of the print journals was in machine-readable form, we anticipated few problems creating online versions from the print source. Unfortunately, not only has it proven very difficult to create the online journal from the print production stream, the Press has concerns about compromising the quality of the print journal either through revision of the print production stream to facilitate the online publication or by changing the print production to make it a by-product of the online publication. In retrospect, we should have anticipated the problems that these legacy systems would present.

Migration Strategies

Not only have we had to deal with the legacy systems for the print journal, we have had to develop migration strategies for the electronic edition as well. When we began planning SCAN, Gopher was the latest net technology, Berkeley had invested considerable staff resources in implementing a Library Gopher, and the Press was beginning to publish electronic journals on Gopher. Because of the commitment of both the Library and the Press to structured text, we planned to use SGML as the formal publishing mechanism, although we knew that we would need to support Gopher-based text access as well in the short run. Between the planning and proposal-writing stages and the present, the World Wide Web has overtaken Gopher, and PDF has become an industry "standard" for publishing. In less than two years, we have had to develop migration strategies from plain text Gopher, through HTML, to SGML, and must now consider the advantages of PDF. We now know that migration plans have to be an integral and ongoing part of all of our strategies.

Too Many Options

The technology is moving faster than we can implement it, and in some cases costs more than the community can afford. In addition, since each alternative offers a different mix of advantages and disadvantages, the Press must continuously reevaluate its values and strategies.

The recent emergence of PDF is a good case in point. The Press has been committed to the use of structured text for its publications because it believes that scholars will be better served by the searching and navigation potential it offers. A deficiency in the current technology for structured text is that the Press has less control over the "look and feel" of the product, one of the values that the publisher adds to the scholarly work. In contrast, PDF provides a stable visual presentation, can easily be used to make printed copies, and is less expensive to implement for electronic publishing. Moreover, the use of PDF could partially solve the print production legacy system problem. The Press must therefore make difficult choices about scholarly and publishing values, costs, and implementation strategies.

Likewise, the problems of converting backfiles to digital form can now be relatively easily and inexpensively addressed through JSTOR, an option that did not exist when we planned SCAN; current issues could be published in PDF, HTML, or SGML. Despite the ease and low cost of JSTOR, the Press would prefer to publish both backfiles and current issues in a single system using structured text that users could easily navigate through with a consistent interface.

Distribution options are a third example of the proliferation of technologies that has occured since we began SCAN. Our original intention was to use the Library's server for SCAN, with the expectation that the Press would ultimately obtain its own server and assume ongoing responsibility for distribution, archiving, etc. The Library is quite willing to distribute the Press' electronic publications indefinitely, although the Press would still prefer to have control over its own production and distribution. Just emerging are attractive third party distribution and archiving services which we must now analyze from cost/benefit and service perspectives.

The need to constantly reevaluate the technical choices we have made, to develop migration strategies to enable changes in preferred technology, and to rethink our goals and values as a part of technology evaluation has been more timeconsuming—and challenging—than we expected.

The Partnership

Developing a closer relationship with our partners at the University Press has been one of the most rewarding aspects of SCAN. We had thought that there would be sufficient congruence of mission and values between the Press and the Library to ensure a successful project. We share a commitment to preserve and make accessible the fruits of scholarly inquiry, and are committed to lead in efforts to insure that scholarly publishing survives. Through the project we have developed a much more sophisticated understanding of one another's values, commitments, problems, vision, strategies, and strengths. We have found that we have complementary knowledge, skills, and technical expertise. The Press' expertise in publishing, marketing, and scholarly communication helps the Library in its "publication" of digital library resources. The Library's experience in running production systems and its track record in carrying out research and demonstration projects using structured text and developing "best practices" for encoding and navigation can help the Press to move more rapidly to an electronic publishing environment. The Press' interest in and commitment to conducting effective research on the economics of electronic publishing will help both of us. Although there is a significant overhead cost in cooperation, the end result is worth the investment. By sharing our expertise and knowledge—and our vision for the future with one another—we avoid mistakes we would otherwise have made.

We have found that we have complementary needs that can be more cost-effectively addressed in concert. For example, we both need to have secure systems for authentication (of users and documents), security, electronic commerce, digital signatures, and rights management. We are finding that our roles are changing—and would have even without SCAN, but SCAN helps us to formally develop those changed roles. For example, the Library is becoming an author, editor, and publisher—initially of web resources and digital surrogates of primary resources. It is also becoming a distributor of both its own and the Press' publications. The Library is learning from the Press how to become a publisher. The Library has thus far made more fundamental changes in organizational structure to support digital library initiatives than the Press has, therefore, Library staff can assist with mark-up and other tasks for which it is well-organized. Both the Library and the Press have learned from SCAN how far we have to go to retool our organizations to be effective in the digital world, and how great the staff training and development needs are if we are to have sufficient numbers of staff with the requisite technical expertise coupled with an appropriate level of understanding of scholarly publishing and sufficient research library knowledge.

We continue to gain important insights about ways in which our vision and values are not shared, and these differences will affect both how we interact with each other operationally, and how we develop mutually beneficial strategies for preserving scholarly publishing and research libraries.

In sum, SCAN has been an important and rewarding learning experience for both the Library and the Press—and it has been more fun that we thought it would be. Through the project we have a better understanding of the system of scholarly communication, and a greater commitment to working together to develop solutions that will preserve it.

QUESTION AND ANSWER SESSION

MR. FRAZIER (University of Wisconsin): I have a couple of questions, but first a quick comment. We've talked a lot about our rights and responsibilities under copyright law and have heard a number of perspectives, but I would like to just mention that there is also the power of the marketplace. It's in our power to say "yes" or "no." I believe we need to purchase your product as you make it available and also to encourage those enterprises that are sympathetic to the overall mission of academia.

Two questions. One, I'm on the board of the University of Wisconsin Press and we have a dozen journals. Jim, can you tell us how to do it? That is, without Mellon funds.

Question two: Carol, can you tell us how we can begin to move into producing monographs in electronic form, perhaps with the intermediate stage of creating an infrastructure that would support publication on demand as we prepare to move ahead towards accessing monographs electronically?

MR. NEAL: I think that Project MUSE would be very interested in distributing journal titles from the University of Wisconsin Press. We have had regular visits from university presses looking at MUSE as a model, and I think that a visit would be very helpful for you. It has the value of not only educating and raising awareness, but it also has practical value from looking at some of the difficulties we have had and from direct conversation with the staff.

Certainly, a growing subscription base for these types of projects, which have favorable intellectual property fair use support, can have an influence in the larger market. I believe it has had an influence already. The ways some of the commercial journal producers are marketing their electronic versions reflect some of the thinking that has gone on in MUSE-type initiatives in terms of owning what you subscribe to, not always linking print and electronic subscriptions together, and enabling on-campus use and reuse of the information. So I think we're having an impact, but I also believe that these kinds of projects need to be successful both economically and scholastically.

MR. EKMAN: Let me put a footnote on Jim's answer. It is true that the start-up was externally subsidized by a Mellon grant, but the proposal included a business plan that called for a break-even point in this operation within four years. As Jim reported, things are going even faster than expected in getting the journals mounted and one can assume that this will begin to at least cover its costs fairly rapidly.

MS. MANDEL: Actually, I think that Sue really addressed some of the issues related to your question in terms of having a database of monographic information that can be published on demand. What we're dealing with now is legacy systems.

One of the reasons our start-up was so long is that publishers who blithely told us that they had been producing things electronically for ages and could give us electronic publications kept telling us every year, "Well, we'll start with our 1993 stuff. Oh, you know, we'll start with our 1994 imprints. Oh, you know—," and this went on. That's why we have as few books from Simon & Schuster as we do. It's a combination of what they can produce, what kind of typesetters' tapes they actually have, and also what kind of rights agreements they signed.

So we have to decide when prospective "day one" is. We are now taking any tape we can get, and you wouldn't believe the exorbitant prices that production houses want to charge for retrieving these tapes. We are struggling with these tapes, and we are looking at 1995 imprints, and some 1994 imprints. It's very hard to go back further. We then need to figure out what the product ought to look like.

Then we get to the point of needing to invest in a whole different production system in which you create your books as databases, not as tapes that were used to produce print, and then you can publish on demand. We're a ways away from that because conversion is a big investment. Further, the SGML question is very difficult for publishers because right now the web browsers are using HTML instead of SGML. So there is a lot that needs done before we're at that prospective moment when the raw material to produce on demand is available. I think you may want to discuss this with Sue, because that's just what Sue was talking about.

MR. CAMPBELL (University of Southern California): In these endeavors, we continue to use the language of articles and books and it seems likely that those are related to some degree to the physical characteristics of paper publishing.

Is it possible that it would be helpful if we abandoned those labels, because they don't particularly suit the flexibility, particularly given links and so forth, of the digitized environment? But we continue to use print metaphors that need not be there for any physical reason.

MS. MANDEL: Well, in a sense, when we use the term "book," we're referring to the thing that was and leaving it open as to the thing that will be.

I think, though, that terms like "scholarly monograph" or "article" do have content meaning and not just form meaning because they're units of thought, intellectual production. So that's something we may want to experiment with.

But, certainly, when I use the term "book" at this point I really do mean the package you throw at the cat and not the content.

MR. NEAL: I think we're using those conventions now to a large extent because of the conversion nature of what we're doing. I also think there is a political value in using some of these familiar conventions because it enables publishers and faculty, researchers in particular, to identify with what we're doing and to develop a higher level of comfort.

MR. EKMAN: That was certainly an issue in the retrospective project that we're involved in, the JSTOR project; having something that looks like the familiar journal was a crucial consideration.

MS. ROSENBLATT: When we're looking prospectively at publishing monographs online we are calling them books to give a sort of traditional trajectory to what we're doing. But we're trying to look more at the functionality, the kinds of issues that Carol was talking about. Because it's true, except in a literary or expository work, people are not reading seriatum from page one to page whatever.

So the presentation that we think might work, while still giving a user the feeling of a book online, is to look at the chapter as analogous to an article and providing abstracts that relate to chapters. There would also be a hierarchical browsing approach that could lead the user from the abstracts to the particular chapters. This would also have marketing appeal in that the abstracts could be accessed for free and then entice the user into subscribing to the monograph or bits of the monograph from particular chapters; paying by the drink rather than by the entire monograph.

I think that our rhetoric will change as we actually change the form online and as we have a better understanding of how people use this information that we formerly packaged into a book.

MS. VON WAHLDE (State University of New York-Buffalo): I wanted to say that I was extremely excited to hear about these projects. The presentations were all very informative and I hope there will be opportunities to learn more about them in greater detail and depth over time.

MR. EKMAN: Well, I think I can promise you that for any project we've been supporting there will be periodic reports, increasingly solid evidence of the success or lack thereof of the various project elements. Thank you to our speakers for excellent presentations.

APPENDIX I

ARL BUSINESS MEETING

PRESIDENT CLINE (Pennsylvania State University): Good morning. I would like to begin our ARL business meeting.

First of all, we have some salutes in tribute to our retiring directors. I first call on Sharon Hogan.

MS. HOGAN (University of Illinois-Chicago): It is with great pleasure that I offer a salute to Joan Chambers on behalf of her ARL colleagues. Joan began her working life as a teacher and, as she tells the story, one day the principal came to her and asked, "I need somebody to run the library. Would you do it?" With her typical dedication and enthusiasm, Joan said, "Yes," but then immediately went to school to take some courses to find out what it was all about. In doing so, she discovered a second career, librarianship.

After finishing her library degree program at the University of California at Berkeley, she took a position in Government Documents at the University of Nevada at Reno, where she became one of the founders of ALA's GODORT Round Table, an early sign that she would be a leader in our profession.

After that, Joan participated in the Council on Library Resources Academic Management Intern Program at Duke, her first interaction with ARL, and then became Assistant University Librarian at the University of California-San Diego, where, again, Joan interacted with ARL as she participated in the Academic Library Consultant's Training Program. She was then appointed University Librarian at the University of California at Riverside, and became a Senior Fellow at the UCLA Program.

She is currently the University Librarian at Colorado State University. As an ARL Director, she has served in positions for and on behalf of ARL. She served on the Nominating Committee in 1982; the OMS Advisory Committee in 1983; the Committee on Management of Research Library Resources from 1984 to 1986; the Board of Directors 1990 to 1993; the ARL/RLG Interlibrary Loan Cost Study Project, for which she was Chair in 1992/93; and went from that to become a member of the IFLA Committee on Document Delivery. Finally, she served on the Committee on Minority Recruitment and Retention, again as Chair, 1994/95.

As Joan retires from her position as an ARL director we can rest assured that her dedication and enthusiasms will find new outlets.

Joan, we wish you well onward and upward.

PRESIDENT CLINE: Thank you, Sharon. And best wishes, Joan.

Next I'd like to call on Elaine Sloan.

MS. SLOAN (Columbia University): Thank you. I'm very honored to have been asked to pay tribute to one of the most influential librarians of our generation, Richard De Gennaro. Dick has spent his career at the New York Public Library (NYPL), at the University of Pennsylvania, and at Harvard. He has also been very active in a variety of professional associations: he has served as ARL President and as Chair of the RLG Board of Governors. Furthermore, Dick has authored over 50 papers and has completed more than 60 consulting assignments. His influence has extended far beyond the research library community.

Our profession has awarded Dick some of its most prestigious awards, including Melville Dewey Medal, the Academic and Research Librarian of the Year, and the Hugh Atkinson Award.

Dick has said of his library career that he is proudest of having served as the head of two of the greatest research libraries of the world, the NYPL and Harvard, and at Harvard he is proudest for having accomplished something that they said would never be done, recon.

Thank you, Dick, for your extraordinary contributions, and for your continuing interest in change and innovation. You have been, for all of us, a role model, an inspiration, and, personally, a friend. We all wish you well in the future and we will all miss your wise counsel and advice. Good luck.

PRESIDENT CLINE: Thank you, Elaine. Dick, our very best wishes, and please stay in touch.

I'd like to call on Sterling Albrecht.

MR. ALBRECHT (Brigham Young University): I first met Jim Wyatt back in 1980 or 1981, when we were on the ARL Board together. At that time we became friends and we've been good friends ever since.

Jim has an interesting background; he went to a military prep school, to divinity school at Rochester University, was a Coast Guard pilot during the Cold War, and has a Ph.D. from Florida State. He is also one of the few academic directors I know of who became a director without ever having worked in the library before. Upon completion of his library degree at North Carolina, Jim was offered the position of Director at the Morris Hill College library, in North Carolina. Following that, he worked at the University of Alabama for seven years, and was then hired as Director of Libraries at Rochester, where he has been for the last 16 years.

Jim has served on a number of ARL committees and task forces, and chaired the Committee on Government Relations. I mentioned earlier that he was a valuable member of the ARL Board.

We will miss Jim, his fine mind, and his contributions in ARL, but we wish he and Mary, his lovely wife, success and happiness in all that they do.

PRESIDENT CLINE: Jim, our very best to you. Thank you, Sterling.

Lastly, I'd like to call on John Laucus.

MR. LAUCUS (Boston University): The Irish social clubs in Boston, the real Irish social clubs, not the wanna-be's across the various boundaries of Boston, still sing an old Irish song that has the refrain, "Though we will see great men, we will never see better." That stands, certainly, for all the retirees today, and especially for Arthur Curley, Director of the Boston Public Library (BPL), whom it has been my good fortune to know for 11 years.

I'm delighted to say that Arthur is not leaving the Boston Public Library, but is continuing as BPL's Director Emeritus.

Arthur has served as President of this Association and as President of the American Library Association. In those roles he has been an advocate, not only for research libraries, but for libraries of all types and for library users at all levels.

Anyone who has talked for five minutes with Arthur knows that he is a perfect example of a union of style and substance. He is a man of personal grace and dignity, with a sense of humor. Arthur was born of Irish stock in Jamaica Plain, in Boston, which is not the water side of Beacon Hill where George Apley lived, nor is it one of the stools of Scully Square. So when Arthur made his move to Harvard, it was a major move. He went on to get his library degree from Simmons College, followed by what we in Boston think of as his wilderness years, his move to the far west: libraries in Illinois, Ohio, and Michigan.

In 1980, Arthur moved on to the New York Public Library. During his time there, he managed to lecture at Rutgers University and the University of Michigan, authored some books, and built library collections, including a modern romance collection.

In 1985, we in Boston were fortunate enough to have him return to head our public library, a library which, like New York Public, is a world-class collection in a series of world-class buildings and storefronts. Boston Public Library, under Arthur's direction, works with a group of people who give definition to the term "cultural diversity": Brahmins, politicians, academics, people in the process of lifetime learning who are trying to get themselves and their children off the street, traditional ethnic populations, and a whole series of new émigrés to our cities. They all come to us and make demands that are being met in our public libraries.

Arthur's range of interest is illustrated by his club memberships: he is the only person I know who is a member of both the Club of Odd Volumes and the Longwood Cricket Club. He is the only person I know who can rivet an audience to their seats with a dense discussion of libraries and their needs, and then, in an instant, free them and, given the propriety of the situation, their pocketbooks, by suddenly shouting, "Let's party!"

As I said, Arthur is continuing as Director Emeritus of the Boston Public Library. He will be working on the much-needed restoration of the Italian Palace in Boston and the archives therein. And it's my hope that, when IFLA meets in Boston in 2001, Arthur will be there to greet IFLA and speak with them and say, "Let's party!"

Arthur, God bless.

PRESIDENT CLINE: Thank you, John. Best wishes to you, Arthur.

I have to say in listening to these tributes, we all should feel very fortunate that we have had these colleagues in our midst and we have quite a legacy to continue. Thanks and best of luck to all of you.

President's Report

Now to give you a quick overview of the Board's work and our meeting Tuesday afternoon. During that meeting we reviewed the results of the Association's 1995 financial audit, and we also carefully reviewed the Association's 1996 operating budget. We gave particular attention to ARL's commitment to the Shared Legal Capability, working in the area of copyright and intellectual property issues, as this promises to be a major continuing budget issue for us. We also addressed the budget performance within the Association's various program centers.

We spent a considerable amount of time looking and reviewing the AAU/ARL research libraries projects, on which Jerry Campbell will report shortly. We also spent considerable time on copyright issues, being updated on current events that will have an impact on the Association. Those of you who have been attending committee meetings know that this is such a fast-paced area that we just must be constantly monitoring the activity in Washington and elsewhere.

Another highlight was that we, for the first time as a board, met with the three ARL representatives to the Coalition for Networked Information's Steering Committee, David Bishop, Sheila Creth, and Sharon Hogan. This meeting gave the Board an opportunity to discuss some of ARL's expectations and to focus on some of the areas in which the expertise from our libraries is contributing to the advancement of the CNI agenda. In essence, it gave us a chance to dovetail so that the individuals who are representing us have more of a sense of what the Board, in its role for the Association, might be expecting of them. It was a beneficial process and probably one which we will want to continue.

The next item on the agenda was also briefly discussed at the Board Meeting, the Ad Hoc Membership Committee's Report on Ohio University. For that I'd like to call on Gloria Werner, the Committee Chair and our President Elect.

Report of the Ad Hoc Membership Committee on Ohio University

MS. WERNER (University of California-Los Angeles): I trust you will remember that ARL revised its membership criteria several years ago, in 1994, to more clearly define what we meant by ARL membership. We knew at the time that we would not be opening the door to dozens of new members. In fact, we could count on one hand those who would be eligible for ARL membership under the new criteria. Ohio University did inquire about membership, and we proceeded to analyze their library and academic programs in two stages.

First of all, there are what I call, for the lack of a better term, quantitative factors. Ohio University is a Carnegie Research II institution. In terms of the ARL membership criteria index, they have a score that would place them 88th in that ranking.

In order to make a qualitative assessment of the criteria we had formulated, Nancy Cline, Sheila Creth, and I journeyed out to Athens, Ohio to visit the University. We looked for significant contributions that the Ohio University Library would make to us as a group, to the North American collection of research resources and services. We found that O.U. does have distinctive collections, especially as they relate to Southeast Asia and, to a somewhat lesser extent, Africa. They are very engaged in international outreach efforts and they do have very progressive public service programs.

So with that information, Sheila, Nancy, and I came back to the Board and, based on our assessment, the Board recommended unanimously that Ohio University be brought forward to you today for consideration as a member of ARL.

PRESIDENT CLINE: Since this is a recommendation that is coming to you from a duly established committee, I present it to you as also having passed Board approval. So, at this point we seek a confirming vote from the membership.

First of all, is there any discussion?

[No response.]

All right. All those in favor, please signify by saying "Aye."

THE MEMBERSHIP: Aye.

PRESIDENT CLINE: Those opposed, by "Nay."

[No response.]

Ohio University has been added as a member to the Association. I would like to thank Gloria for her leadership. We have been, as an Association, improving our understanding of membership criteria and this was, for me, certainly an experience. I've since had the occasion to talk to others who have been on site visits to some of our more recent members, and the addition of a site visit has really proved to be an important part of the process.

I'd like to now invite Jerry Campbell, co-Chair of the AAU/ARL Steering Committee on Research Libraries, to report on those issues, primarily electronic publishing and global resources.

106

Report of the AAU/ARL Steering Committee on Research Libraries
MR. CAMPBELL (University of Southern California): Thank you, Nancy. I will report on the actions of the Joint Steering Committee from the spring meeting. This was a kind of benchmark meeting; that is, business had gone on for a while, certain things had matured, and some actions had been taken. Then, toward the end of my report I will talk about the next steps that have been planned.

Among the actions I would report is that the Steering Committee concluded that, with efforts to revise the copyright law that are currently underway but certainly not yet settled, it is premature to enter into formal communications with the Copyright Clearance Center (CCC) on the matter of university licensing. The Steering Committee did, on the other hand, feel it wise to continue informal discussions. So, while it didn't seem to be a very good idea to break off all contact, the Steering Committee and particularly the presidents felt it would be unwise to freeze anything into a license with CCC that may or may not be more or less flexible than the law turns out to be.

Second, the Steering Committee made a decision to disband the Intellectual Property Task Force. The Task Force's work has been critical from the outset in helping frame the intellectual property issues and, in more recent times, its work began to focus on a plan to provide more experiments in electronic publishing and to fund those experiments. However, the Steering Committee judged that there were in fact now a sufficient number of successful high-profile electronic publishing ventures—including JSTOR, Project MUSE, and HighWire—that we really didn't need to undertake at this time any further testing of pilot projects. So we thank the Task Force, but move forward with other activities.

As early as the fall 1995 meeting of the Steering Committee, questions were raised about whether, with these electronic publishing projects, the academy was in need of some way to coordinate the activities, particularly to avoid replication in many different locations. So the Committee has considered how coordination of these publishing ventures might be undertaken. It returned to that matter again this spring and, in the interim, the ARL Board considered the question of coordination at their February meeting and appointed a small task force to develop a proposal to accomplish the coordination.

I would like to call on Nancy Eaton at this point to report on that effort.

MS. EATON (Iowa State University): As Jerry pointed out, the ARL Board, almost independent of the discussions of the ARL/AAU Steering Committee, raised the issue of something akin to a not-for-profit corporation to foster the kinds of electronic publishing ventures in which we have all been interested. There was considerable discussion at the February Board Meeting, at which time Nancy Cline named a working group to carry out and draft, in writing, a concept for such an organization.

The members of that subcommittee were myself, Barbara von Wahlde, Jim Neal, and Jerry Campbell. We did meet separately during that Board Meeting and came back with a first draft, had considerable input from the Board as a whole, and were asked to continue to work on this after the Board Meeting.

As Jerry indicated, the AAU/ARL Steering Committee was given this first document to review in an effort to discuss interest and determine whether we should proceed. And there was such interest from the Steering Committee, so we continued work. That work was compiled by staff at ARL into a current draft which you will see here (see Appendix II for a copy of the IScAN draft document).

The Board was very concerned that we inform you at this point of these discussions because, if we proceed, this may be a fairly major undertaking, and we would like to get your input at as early a stage as possible. We're not asking you to discuss it at this meeting. The Board itself only received the current draft on Tuesday morning and has not yet responded to it. What we do want you to do is to take a copy away—it will also be available on the listserv—and there will be a call for comment as soon as you get home.

It's important that we get that input as soon as possible because there will be both AAU and ARL Board discussions in June and July. We urge you to look carefully at this document and to give us your thoughts so that the Board can proceed at that time.

Thank you.

MR. CAMPBELL: As the third kind of action item from its spring meeting, the Steering Committee received and endorsed a draft report prepared by the ARL Research Collections Committee entitled "Tactical Plan for the AAU/ARL Global Resources Program" (see memorandum dated June 6, 1996 from Duane Webster, and attachments, included in Appendix III).

The Steering Committee was pleased with this proposal for a program to build a distributed collection of global research resources to ensure North American access to foreign publications and will move it forward.

And I would like to ask Dale Canelas to describe the proposal.

MS. CANELAS (University of Florida): The Global Resources Project has been a five-year effort, during the course of which we have made regular reports to you. But I would now like to review for you the project as a whole.

Primarily, we've been trying to document the extent of the reduction of foreign holdings in North American collections, to involve all the stakeholders in recognizing and resolving problems, and to begin exploring solutions for them.

The project was funded by The Andrew W. Mellon Foundation in 1991, and the Committee on Research Collections has overseen a complex series of consultative meetings involving scholars, scholarly societies, bibliographers, collection-management officers, and ARL library directors to define and identify courses of action.

The publication *Scholarship, Research Libraries and Global Publications*, which was mailed to you in April, is an excellent discussion of the whole program: the depth, extent, and breadth of the work that has taken place, as well as amply documenting the extent of the decline in North American library holdings in foreign publications.

It was recognized early on that, while the new technologies promise assistance to us, they alone cannot solve the problems, and the impact of reduced holdings and sharing programs on scholarly working habits will be extensive. That kind of profound change does require the support of university presidents and chief academic officers.

Hence, the AAU presidents were involved, and they have provided significant input for the project over the past three years. And there is some promise of additional support.

Two years ago three demonstration projects were started. One, the Latin American Project, did get support from the Mellon Foundation and it has made a good deal of progress. The project's Advisory Committee includes bibliographers, scholars, an ARL director, and staff support. As a result, there is better access to some Latin American titles, and they will now work on scaling up the project.

The other two projects, focusing on German and Japanese materials, have yielded variable results, but each has identified and defined specific problems affecting those area publications and they are beginning to develop specialized solutions to help make those publications more accessible to us all.

The message is that we are learning, assessing, and designing new approaches, and during the coming year we want to begin pilot projects in African and Southeast Asian areas. Two of the things we have learned are that to be successful all of these projects must deal with a critical mass of material in its particular area or field, and, second, there must a permanent coordinator for these efforts. The Global Resources Program is not a single monolithic effort: it is a series of interconnected or federated efforts that require coordination on an ongoing basis, much more than a committee of library directors can provide.

There has been significant progress in documenting the dimension of the overall problem, in identifying the specific difficulties for several geographic areas, and in involving appropriate stakeholders.

We have AAU support for our tactical plan. We invite your participation in shaping the continuing program. We also welcome any suggestions and comments. We want to make sure that we have your support in this.

MR. CAMPBELL: Thank you Dale. Before Nancy entertains questions, let me conclude by reflecting a bit about next steps. With the I.P. Task Force now being dissolved, I think the Steering Committee itself sees a kind of conclusion to its work because the considerations have broadened somewhat.

At the same meeting this spring, the AAU Technology Committee also sent in a recommendation that essentially said the Internet status quo is unacceptable and suggested that the AAU should set aside an extra day and a half in the fall to consider whether the AAU should establish a dedicated academic network; in this case, a physical network similar to the Internet.

That proposal is not uniformly supported throughout the Educom community, but the degradation of the speed of the Internet for everyday use is apparent.

At any rate, this suggestion fell alongside the notion of a more coordinated approach to electronic publishing, in the same category that concerns distance learning, and the long list of effects the digital environment is having on higher education.

The upshot of it is the AAU is in the process of establishing a focus on this set of issues and it will likely constitute a major program element for the fall meeting. As a part of that, they will probably also set up a smaller working group to do a preliminary run-through of these issues. That is to say, the AAU/ARL Steering Committee on Research Libraries, as we have known and participated in it, will not continue, but it will be enhanced to focus on the whole impact of digital technology on higher education. Our concerns for the library are just part of a larger set of issues, and I think the presidents want to focus on that larger set.

At the same time, I think there was an inclination from the Steering Committee, which will carry through to AAU, that a small joint working group representing ARL and technologists be put together to do some preliminary work over the summer as well. So the enterprise we have been engaged in is proceeding, but it is enlarging its scope to include the whole of the digital environment.

That concludes my report. I'll be glad to answer questions, as will the others.

PRESIDENT CLINE: Thank you all for those reports. Are there questions?

MR. BENNETT (Yale University): I want to comment on the global initiatives, as Yale, like most of the libraries that are represented in this room, has a major stake in the success of these initiatives. I'll mention that Yale is a very active participant in the Latin American project. We welcome the initiative and will be glad to participate in moving it forward. Because of the strength of Yale's collections in German materials, we considered very carefully participating in that but decided not to because we thought that there were serious flaws in the design of that project. And it's out of that experience that I'm speaking now.

I quite agree that Dale has identified some of the lessons learned so far and accurately describes the need for federated interconnected projects for moving the global access initiative forward. One of the things we have learned in the last year is that it is exceedingly difficult to construct effective interconnected federated projects and, in fact, we have failed to do that in a significant way.

My hope is that the Association will look carefully at the difficulties of doing what needs to be done and form a pretty clear idea of how it should be done before we engage the interests of university presidents in a definitive way. I do not want to fail with that audience on this matter.

The other thing I'll mention is that we have a long way to go still in demonstrating the kind of economic impact on our institutions that we seek through these programs and a long way to go in designing the programs so that they will achieve those desired impacts. And that's another issue where I think we have to pay a lot of attention, again, before we definitely enlist the support of university presidents.

MR. SIMPSON (Center for Research Libraries): I'd like to add my endorsement of this tactical plan to Scott's and agree with a number of comments that he made. I've long participated in the development of this program, having now served on both the Research Collections Committee and on the task force with others who have been involved in the exploration phases of this program. So I have a lot of personal and organizational investment in this.

It is a very substantial, difficult, and complex problem that just isn't going to go away unless we do something well thought-out, well considered, and with a certain amount of concerted and committed action on all of our parts.

The tactical plan, as I see it, is an effective means for a transition from the kind of exploration that we've been doing for the last four or five years into an era that I would describe as developmental and coordinative, but with the expectation that this period of time will be relatively brief because of the need to move on with the operational aspects.

There are downsides but, as we heard in the motivational speeches yesterday and those we've been hearing for years, we have to look to these challenges as opportunities. This opportunity will require an enormous amount of commitment, an enormous amount of patience, and a very careful balance between short-term gains, which is what our presidents want us to provide, as well as long-term progress, which is really the only thing that will resolve these incredibly difficult issues over time.

Now, as part of this effort, CRL, being an organization that is in the operational business of cooperation in relation to collections, is now announcing an initiative to step forward and expand our program to fit some aspects of the global resources program. We want to expand our operating capacity to meet the needs within the global resources program that are not now being met.

Initially, we put forward a planning statement that focuses in several areas. One of those areas, which is actually a new effort for us, is the development of an electronic journal archive. Notice I said "a," not "the," because we see that there will be many participants who will have a variety of electronic journal archives. That, in fact, will be the strength for this community over time, rather than trying to put all the eggs in a single basket.

We also want to expand our newspapers program, which is exceptionally strong in the international area; expand our area studies programs; build on our dissertations collection to make it a truly global collection; take on an exchanges coordination function; and, lastly, the program will build on something that we have been working very hard on over the last dozen years, the national collections of record.

All of these are our attempt to build on the experience that many of your institutions have invested in now for almost 50 years at CRL. It's not to say that there aren't some incredibly complex issues that have yet to be dealt with. The very first one on my list is money. Money is difficult for all of us to come up with these days and this will not be an easy barrier to surmount.

Another issue is the one of membership in CRL. We have to remember that, for a very long time, CRL has operated a number of programs that involve both member institutions and non-member institutions. We have to keep in mind that a 1950s model for membership may not be the appropriate one to carry CRL or the research library community into the 21st century. There is a panel of very hard-working and intelligent people who are examining that issue now and will do so over the next year.

A couple of other problems that have to be dealt with, of course, are the conflicts with local priorities that any kind of cooperative mechanism encounters. Copyright will continue to be a very serious problem as we expand our efforts. The other is, of course, the need for multiple players in all of this. I'm hopeful that other players in the cooperative collection business will step up now as well.

Over the next year we will be doing a lot of detailed planning. We expect ARL to provide an incredible amount of very effective coordination for this program. We feel that that is entirely essential, not only to meet the needs of the Center's members, but those of the entire community. Beyond that, we hope to begin implementation of these expanded programs very shortly.

In closing, I would ask that as you read the documentation that's coming forward from CRL, please send us your thoughts. They would be very helpful.

MS. SLOAN (Columbia University): Speaking as a member of the AAU/ARL Steering Committee, I want to thank Jerry for his report and for his leadership. I want to emphasize that the work, as Jerry stated, will continue.

The association with AAU is very important to ARL. One of the reasons, as Scott said, that we are so committed to the Global Resources Initiative is that it does have AAU support. I think this continuing collaboration is extremely vital to us and, in fact, will be strengthened by a closer link with the information technology issues because, if we're going to promote an electronic publishing initiative, we must have a strong network.

Finally, I'd like to thank Duane for his heroic efforts in bringing AAU and ARL together.

MR. WEBSTER (ARL): I think it is worth noting two things: one, that Dr. Neil Pings, President of AAU, did come to our meeting here in Vancouver. He and John Vaughn are both here from AAU and I think that's in important signal that AAU has a continuing stake and interest in this set of issues.

Secondly, Nancy, Jerry and I had a conversation with John Vaughn this morning to begin drafting the design for the group that will succeed the IP Task Force. We are very interested in having an enhanced sponsorship of that group. We're thinking in terms of an ACLS and an AAUP presence. If we're able to achieve that, then this will be a real step forward.

PRESIDENT CLINE: Thank you. We've received some good input. At this point we have several committees who wish to make a report. I'd like to call first on Nancy Baker from the Minority Recruitment and Retention Committee.

Report of the Minority Recruitment and Retention Committee

MS. BAKER (Washington State University): One of the biggest priorities from last year's committee was to build on the work that Kriza Jennings was doing with ALISE (the Association of Library and Information Science Educators). As you may recall, we sponsored a breakfast at ALISE, and I want to thank those directors who were able to come to ALISE and meet with us. I think it had tremendous impact and we would like to continue by focusing this year on the committees and the special interest groups at ALISE and on trying to have a presence there.

The second thing that the Committee would like to do is to have a liaison from each institution to work with Kriza's replacement at ARL. Third, we really would like to especially encourage you to pick up and use the revised evaluation form for the membership meeting because one of the questions on the revised form is of special interest to our committee.

Thank you.

PRESIDENT CLINE: Thank you, Nancy. Jim Neal will now report for both the Information Policies Committee and the Copyright Issues Working Group.

Report of the Information Policies Committee

MR. NEAL (Johns Hopkins University): Thank you, Nancy. First of all, the Information Policies Committee has been monitoring quite closely the appropriations developments in Washington. We talked extensively about the reviews of the Library of Congress, a situation that I think this Association needs to give careful attention.

We are also beginning a look at the several encryption legislation bills that are moving through Congress and trying to understand what prospective impact they will have on our universities and our libraries. But we have spent most of our time at this meeting talking about the copyright bills, which I'll return to in a moment when I talk about the work of the Copyright Issues Working Group.

We did consider an association plan for management and access in preservation of electronic government information. That plan will be developed further and we will be presenting it for Board review and endorsement at the July meeting.

We also are monitoring very carefully the library and university liabilities issues that are bundled up under the Communications Decency Act and the Copyright Protection Act. We believe that these two pieces of legislation are moving in parallel directions, and the infringing acts of our user communities, whether they be in the decency and/or copyright arenas, and the potential tagging responsibilities that we might assume in our universities and our libraries are areas about which we need to be passionately concerned. We will be monitoring, troubleshooting, and informing on those issues as we move forward over the next several months.

Report of the Copyright Issues Working Group

Let me spend a little time talking about the work of the Copyright Issues Working Group.

We all know that the copyright term extension legislation and the new copyright legislation are advancing rapidly in Washington. We, ARL, are connecting with key people in Washington and are working effectively with the Digital Future Coalition, an important network of organizations and individuals advancing important principles and actions on our behalf.

I think it's important to thank and applaud you for how effective and responsive members have been to requests for letters and phone calls to key congressional committee members. This area will accelerate as we move into the fall and your continued cooperation, participation, and leadership will be crucial to our success.

But it's clear that our ability to advance our interest and to retain our industry partners—and we need to remember that our industry partners are primarily interested in the online services liability issue—and be successful is uncertain. It is possible that the legislation will reach the House and Senate floors by September and we must be prepared to engage the higher-education community.

While working with our higher-education communities, up to now we have pretty much argued on the basis of principles. We have begun to emphasize the impact of this legislation on teaching and research. And now we must address the budgetary impacts for our universities, impacts which are substantial and largely not understood.

We must respond to the mixed messages being received by our campus administrators on such things as patent issues, from IT staff, from university press personnel and faculty who have significant publishing income. The higher-education community does not speak with a single voice. We must move our higher-education communities from awareness and understanding to a period of commitment and action on this issue.

We must work at each of our institutions with our presidents, provosts, deans, university councils, and legislative lobbyists. We must select a future set of key issues. And we spent some time at this meeting talking about what those selected issues should be in terms of the higher-education community. We propose that they be: fair use; online services liability, which in many ways is really a network management issue at our institutions; distance education; and preservation.

I should also add that, in conjunction with this heightened political action, we must also assess the feasibility and desirability of continuing under the umbrella of CONFU to develop guidelines. The Copyright Issues Working Group reviewed the electronic reserves and multimedia draft guidelines here at these meetings, but it is not clear what our right strategy should be. There are issues of process, there are issues of political partnerships, but, most importantly, there are issues of practical considerations. Do we give away rights by signing on to guidelines? We need to come to terms with that as an association.

In addition, we must pursue our priority issues through legal channels and we must decide now if the Michigan Document Services (MDS) amicus brief which we heard about yesterday is ARL's correct platform. I'd like to turn the podium over to Scott to say some things on that topic.

MR. BENNETT (Yale University): I have, in fact, a motion to make, and, if it's seconded, I would like to discuss it.

The motion is that, if moved, the ARL membership advise the ARL Board to review the new amicus brief for the hearing of the MDS case and find an appropriate way to express, both to the Federal Court and to the public, its concern that readers be able to exercise with vigor their fair-use rights provided under the U.S. Constitution and that readers be able to rely on third parties, such as libraries, in the exercise of their rights.

MS. CRETH (University of Iowa): Seconded.

PRESIDENT CLINE: As it has been seconded, there is now a call for discussion. Scott, I'll recognize you.

MR. BENNETT: Thank you very much. There really are two key issues for us in the MDS case. We've been calling on ourselves and others to protect fair use. This case is one where fair use is squarely before us, where it is vastly jeopardized, and where there is a good chance of winning. So this is the case in which we should express our views.

I want to emphasize that I think this is a winnable case. It's winnable if we are able to keep what the true issues are clearly before the court and before the public. You heard yesterday what those issues were and the key importance of keeping clearly focused on them. Before this initial decision was handed down, we've seen that it is very easy to lose sight of and to, in fact, misrepresent what the true issues are. This is winnable and it's an important win for us. So the first issue here is that this is a perfect opportunity, as best as we will have, to protect fair use.

The second key issue is that a particular aspect of this case is that students and faculty were calling upon a third party in the exercise of their fair-use rights. It is vitally important for us to recognize and to protect readers' ability to do that.

A lot of what now is happening in our libraries is in jeopardy if we do not protect readers' rights to call upon third parties. When, for instance, a laboratory scientist sends a graduate student to the library to photocopy something, that person is exercising his or her fair-use rights and is employing a university student, somebody the university is paying, to do that.

Some of us are beginning to design library services on precisely this principle. It seems to me that the future of the way in which people will use the library and the future of our ability to shape library services that are really useful to readers depends, in a significant measure, on our ability to protect the individuals' rights to employ third parties in the exercise of their fair use rights.

Those are the key issues. Now, there is an important question about the particular amicus brief. The one that we saw earlier in the week is not the one that will be submitted. It will be significantly revised in response to Susan Kornfield's comments on it. I spoke with Susan yesterday, and she is confident that the new brief will strongly and accurately inform the court on the issues. So while we do not have the brief before us today for judgment, I can report to you Susan's confidence on that matter.

It may be, however, that the brief will not be a perfect one. Certainly, the draft that we have seen is not a perfect one. I have, therefore, tried to take some care in shaping the motion. So I'll just remind you that the motion advises the ARL Board to find an appropriate way to express, both to the Federal Court and to the public, its concerns on the key issues that I've just described. My most fervent hope is that we will not, in search of a perfect way of expressing that support, forego the opportunity to employ a good way to express those concerns.

PRESIDENT CLINE: Thank you. Are there others who wish to comment?

MR. NEAL: I think it's important to remember that we, as an association, had been a participant in the original amicus brief in this case and that this is a new action that's being considered.

Secondly, it's important to note that the original draft brief that we looked at earlier in the week was also shared with legal counsel, not ARL's legal counsel, and we received expressions of concern about ARL's signing on to that particular brief and aligning itself with photocopy-shop interests, although the questions and issues being advanced by the brief clearly align with the needs and interests of the research library community.

So we need to be aware that there is not a unanimity of view in terms of whether this brief represents the right strategic action on the part of the Association, although I think, as Scott emphasized, there are some changes that we have not yet seen which potentially could influence that judgment.

PRESIDENT CLINE: I would again remind everyone of the wording. It calls for the action of the Board, so it's not committing to something that we don't know.

MR. NEAL: Exactly.

MR. FRAZIER (University of Wisconsin): I want to support the idea of going forward with this resolution, as I believe there is something very important at stake here.

You all heard that the status of guidelines is very relevant to this issue. That is to say, classroom guidelines are being represented by some publishing interests as the maximum extent of use permitted under law, rather than as a safe harbor for use. Now, this goes fundamentally against the whole underlying premise of the guidelines: that we would come together in good faith and define an area of minimum fair use. Now we have, in this particular case, the idea represented that the guidelines represent statute, which they are not, and the maximum extent of fair use, which they are not.

So there's a very fundamental principle at stake for us with respect to the status of guidelines. Because if, indeed, guidelines are to define the maximum extent of fair use under law, then in the future we can no longer participate in the formation of guidelines. So that is one very important reason for us to back this resolution.

MS. NUTTER (North Carolina State University): I'll be very brief. I just want to speak in support of Scott's motion.

Also, I am very concerned of the concept of waiting for the perfect brief. I don't think we're ever going to see one and there are issues within this brief that are very critical to us.

I also feel that the photocopy-shop issue is one that is a complicated one for us; I would have difficulty distinguishing my own photocopy operation from the kind of shop that's described in this brief. So I would hate to see that hold us back.

PRESIDENT CLINE: Seeing no other people at the microphones for comment, I'll consider our discussion complete and call for the vote. Those who are in favor of the resolution please signify by saying "Aye."

THE MEMBERSHIP: Aye.

PRESIDENT CLINE: Those opposed, by "Nay." It's carried. Thank you.

We will now hear from Duane Webster.

Report of the Executive Director

MR. WEBSTER: We do feel confident that we're keeping you well-informed through a variety of mechanisms; well-informed on what we're doing, on the issues we're addressing, and how we're addressing those issues. So I don't think I need to reiterate those activities.

However, I believe it is appropriate to spend a moment both saluting some of the staff who have been such a crucial part of this partnership, as well as looking at some directions we are taking the enterprise, given current staff changes.

Let me start by saluting Mary Jane Brooks, who has done a marvelous job in putting together the logistics and arrangements for this meeting. Secondly, I'd like to look at some of the changes that are taking place in ARL staff, acknowledge the accomplishments of those who are leaving, and look at some of the directions we are going.

First, I want to note the significant contribution that Kriza Jennings, Program Officer for Diversity and Minority Recruitment and Retention, has made to ARL's agenda and our thinking, as well as our behavior, over the last six years. She has been an advocate for a set of issues, but she's also been an enthusiast for those issues in the context of helping research libraries embrace and engage, and deal with managing cultural diversity and recruiting a stronger component of minorities to research libraries. The accomplishment that Kriza has mastered is that she has brought the program to such a prominent level of attention and has brought our capability to the level of a full-fledged program fully supported by the membership, both in the use of that program, as well as via membership dues.

Another key staff member who is leaving is Susan Jurow. Susan has been with us for 11 years. Of course, she came from a number of libraries, working at the University of Houston and then the University of California. She has worked in a training capacity, and has emerged as the director of the OMS. Susan is the person who has been the most responsible for coaching, nurturing, and working with Kriza to help move the Minority Recruitment & Cultural Diversity Program forward.

She has also done an awful lot for us in a variety of fashions, not the least of which, again in terms of this meeting, is her work with both Nancy and Carolynne Presser in identifying speakers, and tracking them down, and making sure they would be available for this event.

Susan is taking on new responsibilities as Executive Director of the College and University Personnel Association, CUPA. I believe this is an excellent opportunity for ARL to extend and enhance its relationships within the university community. With Susan at CUPA, I think we will have opportunities to develop a unique and very special working relationship with the human resources staff in our institutions.

So while we are in fact losing, or I might say graduating, Susan to a new set of activities, this will, in fact, be a relationship that will continue to bear fruit for the organization.

Next, I would like to say a couple of words about Jutta Reed-Scott. Jutta has been with ARL for 14 years. She is a very special person, extremely important in formulating and advancing research library collection, preservation, and bibliographic control interests.

Jutta has worked on a variety of fronts and, very notably, she has done extraordinary work in framing, shaping, directing, and leading the Global Resources Initiative described by Dale earlier. Of course, Jutta has worked very closely with Dale and with the committee to make that initiative happen. Perhaps the most important accomplishment of this effort has been the study on global resources that Jutta recently completed, published by ARL. It is a truly notable and fitting closure to her career at ARL that she was able to write this, to capture and articulate the dramatic need facing research libraries in the arena of foreign acquisitions. It serves as a true tribute to her talent, her excellence, and her lasting contribution to our enterprise.

In our own mischievous way we are finding ways to keep Jutta involved with us, even in her retirement. She has agreed to continue to work with us on a contract basis. She will be helping us with the NRMM (National Register for Microform Masters) Project, a retrospective conversion effort for which we have been fortunate enough to receive some funding from the National Endowment for Humanities over the last several years, largely due to Jutta's grant-writing skills. This last grant will be the final phase, we are assured, allowing us to in fact complete that series of efforts.

Let me speak briefly about where we are going with these ARL program capabilities, given these staff changes. We are losing 30 years of experience here and it will be very difficult to replace that, to build our new team. But we, of course, have a very strong nucleus of staff who are continuing and will be available to help with that transition.

We have also made some progress in building the new team. In the area of the scholarly communication, we have renamed the office. It's now the Office of Scholarly Communication (OSC). We have also been able to recruit a fine new director for that office, who I would like to introduce to you at this time.

Mary Case has her MLS from the University of Michigan. She has worked over the last decade in a variety of positions in serials and acquisitions at one of our member institutions, Northwestern University. Most recently, and quite importantly, she has been working in Northwestern's Office of the Vice-President for Administration and Planning, where she has been coordinating reviews of the academic programs. This has given her an excellent opportunity to develop a better understanding of the interest and needs of the scholars at Northwestern.

We believe that Mary's combination of a background in traditional library as well as working on reviews of academic programs and interests establishes her very well as Director for the Office of Scholarly Communication.

We are working closely with the Scholarly Communication Committee to chart new directions for that office, but I want to assure you that it will continue to serve as a focal point for collecting and dispersing information on changes taking place with scholarly communication. We are looking at more formal and deliberate mechanisms for serving that clearinghouse role and will be looking to Mary to help design those.

Secondly, we will continue the *Directory of Electronic Journals*. It is becoming a very large enterprise; the current *Directory* is about to be published with 1,700 titles. And so we are looking at different alternatives for producing it and making it available in the future. Mary, again, will help us in that regard.

Third, we are convinced that a primary contribution of OSC is in connecting us with various parts of the academic community. We are and will continue to pay attention to that partnering aspect of the Office. So I believe it is appropriate to announce, on a tentative basis, that the Office of Scholarly Communication will be working with the Coalition for Networked Information (CNI) and, we think, the American Association of University Presses to put together a symposium in December of this year on campus-based strategies for electronic scholarly publishing, in conjunction with the CNI meeting in San Francisco. I hope you will put that on your calendar.

For the Minority Recruitment Program, we are very pleased with our recruitment efforts. We have received 50 applications, and expect to proceed with interviews in this next month. We will have a new Director of that Program before the end of the summer to continue Kriza's good efforts.

As I mentioned, in the area of the collections and preservation programs, Jutta will contract to do a particular project, but we are also extending a relationship with Deborah Jakubs. I promised Deborah I would not formally announce that she has been recruited to be a Visiting Program Officer, but we are in the final stages of negotiation.

I believe this is a very important step, as it indicates our commitment to moving the Global Resources Program forward. Deborah has been a strong part of the Latin American pilot project and has agreed to seriously consider the arrangements under which we might work together on a part-time basis as a Visiting Program Officer to ensure that the Global Resources Program progresses.

Finally, with the OMS, we have a very strong cadre of talent: Maureen Sullivan, Kathryn Deiss, and Laura Rounds. We also have talent in the field under contract to OMS: George Soete, Shelley Phipps, and others. There is a lot of strong talent in OMS, and we are committed to continuing to deliver quality services to you. In the next several months I will be working with staff, the management committee, and Paul Kobulnicky (University of Connecticut), who chairs the Management Committee, to look at different ways to best organize and deploy that talent to you.

I'm confident that we have a very exciting new team in the making.

Thank you.

APPENDIX II

ASSOCIATION OF RESEARCH LIBRARIES

June 6, 1996

To: ARL Directors

From: Duane Webster Duane

Re: Electronic Scholarly Publishing

The ARL Board of Directors is exploring options for collective action to advance electronic scholarly publishing in ways that strengthen the role of universities and other non-profit entities. These discussions are an outgrowth of joint efforts with the Association of American Universities (AAU) to explore the future of research libraries and scholarly communication.

As reported at the ARL Business meeting in Vancouver, British Columbia, a work group comprising Nancy Eaton, Jim Neal, Barbara von Wahlde, and Jerry Campbell, Chair was directed by the Board to develop the concept of a not-for-profit cost recovery consortium that creates, distributes, manages, uses and preserves networked scholarly and scientific communication and publications. The goals of such an enterprise include: encouraging experimentation and innovation, controlling costs, and extending access. A key element is taking a proactive role in the management of intellectual property, especially that created within universities.

The working group, assisted by Paul Peters, CNI Executive Director, prepared a draft description of a consortium entitled "The International Scholars Academic Network" (IScAN). The paper was distributed in Vancouver and is enclosed here with a request for your written comments.

ARL Directors and their senior staff are encouraged to review and comment on the draft for the benefit of the ARL Board of Directors who will be considering next steps in this effort at their July 29, 1996 Board meeting. You may want to consider the items noted on the following page.

Please return your comments to Allyn Fitzgerald, ARL Senior Research Analyst, by July 10, 1996 (allyn@cni.org).

June 6, 1996

REQUEST FOR ARL COMMENTS ON THE PROPOSAL FOR AN INTERNATIONAL SCHOLARS ACADEMIC NETWORK

1. The ARL Board acknowledges the many efforts in electronic publishing underway. The IScAN proposal reflects the Board's belief that it is to the long term advantage of research libraries to provide a framework to coordinate and extend those efforts. Do you agree? Comments:

2. What aspects of the IScAN proposal do you think need clarification?

3. What role do you think research libraries should play in advancing this concept and electronic scholarly publishing in general?

4. Are you or your institution prepared to participate in or contribute to the consortium?

5. Other comments

Name of respondent:

Institution:

Please return your comments to Allyn Fitzgerald, ARL Senior Research Analyst, by July 10, 1996 (allyn@cni.org).

PROPOSED:

The Time is Right for Creating

The *"International Scholars Academic Network (IScAN)"*

**Prepared for the ARL Board by Jerry D. Campbell,
Nancy Eaton, James G. Neal, and Barbara von Wahlde
with the assistance of Paul Evan Peters**

DRAFT * 05/14/96 * DRAFT

For discussion only. Not for publication.

1. INTRODUCTION

1A. We believe that the time is right for establishing a not-for-profit, cost-recovery consortium that creates, distributes, manages, uses, and preserves networked scholarly and scientific communications and publications in a manner that is directly responsive to the interests of academic and research libraries around the world, supportive of the teaching and learning, research, and community service missions of the institutions served by these libraries, and which leverages the capabilities and resources of those libraries and institutions.

1B. We want to stimulate a focused, sustained discussion of this proposal, so we prepared this brief document to suggest three basic goals and objectives for the proposed consortium and to describe some of the key features of what it might do and how it might operate. We look forward to the opportunity presented by the upcoming ARL meeting in Vancouver for discussing and refining this proposal.

2. CONCEPT

2A. IScAN should be established as a new, not-for-profit consortium that, as both a publisher and a coordinator of the publishing activities of its members and other, primarily not-for-profit, publishers, creates, distributes, manages, uses, and preserves networked scholarly and scientific information resources and services in a manner that enables experimentation by, controls the costs of, and generates revenue for its members.

3. GOALS AND OBJECTIVES

3A. The "International Scholars Academic Network (IScAN)" consortium should draw positive attention to networked scholarly and scientific communication and publishing (as opposed to recreational, commercial, or other "popular" uses of networks and of networked resources and services) by making high quality scholarly and scientific information conveniently available at affordable prices.

3B. IScAN should also help the research and education community

- ◊ to realize the full economic value of its scholarly and scientific outputs,
- ◊ to experiment with innovative ways to use and reuse those outputs in networked research, teaching and learning, and community service, and
- ◊ to exercise direct control over the cost of the scholarly and scientific communication and publishing system in order to make the outputs of that system more affordable to scholars, scientists, and students as well as libraries.

3C. Finally, IScAN should make sure that the scholarly and scientific communication and publishing system serves the highest purpose assigned to it by the research and education community:

Delivering the best ideas to the people who need them at the right time to enable the creation of still more and better ideas by an ever larger and more diverse community of scholars, scientists, and students who are engaged in an ongoing process of research, teaching and learning, and community service.

4. BASIC PROGRAM

4A. IScAN should set high standards of editorial excellence, and should develop, support, and acquire projects that meet these standards.

4B. IScAN should develop model academic review and promotion policies and practices for recognizing this excellence.

4C. IScAN members should have easy and affordable access to each others' networked scholarly and scientific communication and publishing products and services, and they should be encouraged to use and reuse those products and services without limitation.

4D. IScAN should develop model intellectual property policies and practices for enabling this access.

4E. IScAN should facilitate the planning and financing of new networked scholarly and scientific communication and publishing products and services, and it should create opportunities for prospective developers and users to work together on them.

4F. ISCAN should sponsor research and development into networked information technologies, systems, and services, and it should partner with others (e.g. its members and commercial firms) who share its research and development interests.

4G. ISCAN should facilitate the identification of networked scholarly and scientific communications and publications of continuing value, and it should formulate strategies for preserving them.

4H. IScAN should make every reasonable attempt to use existing technologies, projects, and organizations, particularly those of its members, and to integrate with the infrastructure capabilities and information systems of its members.

5. ADDITIONAL PROGRAM ELEMENTS

5A. IScAN should negotiate licenses and other agreements for networked information resources and services that are of sufficiently widespread interest to warrant collaborative action.

5B. IScAN should address the end-user training and support needs that are common to its members, including the coordination of pathfinders, hotlists, and other end-user orientation and navigational aids such as registration servers, catalogs, search and retrieval systems, and crawlers.

5C. IScAN should develop model institutional strategies that address budgeting, staffing, and other issues that are important to the cost-effective development, management, and assessment of networked information resources and services by its members.

5D. IScAN should provide basic information on and field basic inquiries about the networked scholarly and scientific communication and publishing resources and services of its members as well as itself.

6. TECHNOLOGY

6A. IScAN should promote a high degree of technical interoperability among its members' networked resources and services.

6B. IScAN should formulate authentication, security, encryption, and other network commerce, privacy, and integrity -enabling policies and strategies for implementation by its members.

6C IScAN should participate in and support national and international standards efforts.

6D. IScAN should monitor the performance of the network infrastructure that links its members, and should propose solutions to the capacity and quality of service problems revealed by that monitoring.

6E. IScAN should provide expert advice and other forms of assistance to members and projects that need to retool their technology strategies to comply with IScAN's.

7. PARTICIPATION, FUNDING, AND GOVERNANCE

7A. ISCAN should draw most of its members from colleges and universities, libraries, not-for-profit publishers, scholarly and scientific societies, museums, and other not-for-profit research, education, and cultural institutions, but membership should be open to any organization able and willing to assume the duties and responsibilities of that membership.

7B. IScAN members should pay dues that in some way reflect their standing as net contributors or net users of IScAN's networked information resources and services.

7C. IScAN dues should also reflect the different interests that different members have in different IScAN resources and services.

7D. IScAN should provide access to its resources and services by individual and organizational customers at very affordable financial terms, and those customers should be able to use and reuse those resources and services for a wide range of purposes.

7E. IScAN should approach government agencies, private and public foundations, and other philanthropic organizations for assistance in advancing the state of the art of networked information resources and services and to develop networked resources and services of compelling scholarly or scientific but of uncertain commercial value.

7F. IScAN should be governed by a board that contains external directors in addition to its officers and representatives of its membership.

7G. IScAN should have its own staff to develop, operate, and represent its mission, program, products, and services.

May 14, 1996

APPENDIX III

ASSOCIATION OF RESEARCH LIBRARIES

10 April 1996

To: Directors of ARL Libraries

From: Duane Webster

Re: Global Resources Program

I have mixed feelings in presenting you with a copy of the report *Scholarship, Research Libraries, and Global Publishing.* The good news is that the report amasses evidence previously dispersed, offers new evidence, and synthesizes the results to assess the state of foreign language collections in ARL libraries. The bad news is the finding of an increasingly fragile state of these collections. All evidence confirms that the collections of foreign research materials in North American research libraries, once thought to be comprehensive, have eroded.

This report is the result of a four year project, funded by The Andrew W. Mellon Foundation, and ably orchestrated by Jutta Reed-Scott, ARL Senior Program Officer for Collections and Preservation. It is a report that deserves a strong and concerted response. Under the guidance of the ARL Research Collections Committee, a Global Resources Program is proposed as a response to this threat to research and scholarship. Outlining the framework for the Global Resources Program is *A Strategic Plan* for improving access to global resources, which was reviewed for the ARL membership in October 1994, endorsed by the ARL Board in July 1995, and which appears in the Appendix of the report.

What is presently before the membership, and before the AAU-ARL Steering Committee, is a *Tactical Plan* that outlines steps toward a comprehensive Global Resources Program, as well as a proposal for a six month process of consultation with provosts and other chief academic officers and with scholarly/area studies societies to secure understanding and agreement with the directions in the plan and with the financial strategy for making it a reality. The first two steps in the consultation process will take place April 15th, at the next meeting of the AAU-ARL Steering Committee, and May 17th at the ARL Membership Meeting.

The Global Resources Program will be on the agenda of the ARL Business Meeting. I join Research Collections Committee Chair, Dale Canelas, in encouraging your review of the enclosed materials and welcoming your comment, if not before, at the upcoming Business Meeting.

(over)

Dale and I also want to formally acknowledge Jutta's remarkable success in securing expert advice on this complex topic from many quarters, including: library directors, collection development librarians, area studies scholars and librarians, scholarly societies, book dealers, and other intermediaries. A skim of the report's *acknowledgments* demonstrates the broad and diverse communities that contributed to the richness of the study.

We believe the work qualifies as a "landmark" study. In addition, due in no small measure to the involvement of the many stakeholders in the study process, we believe the stage is set for a concerted effort to re-define the strategies employed by North American research libraries to provide access to global resources. We hope that you concur and that you will agree to work locally to expand the circles of awareness about this problem and to help ARL seek consensus around the proposed strategies.

Enclosed: Proposal for a Global Resources Program: Information for an ARL Membership Discussion

Proposal for a Global Resources Program: Information for An ARL Membership Discussion

The information packet includes five separate documents. These are briefly summarized below.

1. Scaling up to a Global Resources Program: Recommendation for Next Steps

The ARL Research Collections Committee outlines a process for consultation with chief academic officers and scholarly/area studies societies for securing agreement on the proposed plan and on the financial strategy.

2. A Tactical Plan for the AAU/ARL Global Resources Program

This action plan outlines the vision of a network-based, distributed collection of global information resources for North American teaching and research and the benefits it will provide in improved access to global resources. It points to six areas in which action is needed by the AAU and ARL leadership. The plan recommends the management and staffing components of the Global Resources Program, proposes a three-year funding plan, and outlines steps for scaling up the three demonstration projects and for encompassing new projects focused on Africa and South Asia.

3. Scholarship, Research Libraries, and Global Publishing (overview article)

A summary article from the ARL newsletter about ARL's four-year study of the current problems affecting access to materials published overseas in North American research libraries. The overview provides the context for moving forward with the Global Resources Program.

4. Scholarship, Research Libraries, and Global Publishing

The full report of ARL's study of trends in global information resources in ARL member libraries. Supported by a grant from The Andrew W. Mellon Foundation, the detailed studies undertaken over the course of this project provide persuasive evidence of a growing gap between the level of acquisitions of overseas materials and the explosion of global knowledge.

5. ARL Documents Erosion in Research Library Collections (Press Release)

An ARL press release announcing publication of *Scholarship, Research Libraries, and Global Publishing*. It includes information on ordering additional copies of the report.

ASSOCIATION OF RESEARCH LIBRARIES

Scaling up to a Global Resources Program: Recommendation for Next Steps

The ARL Research Collections Committee below outlines a process for consultation with chief academic officers and scholarly/area studies societies for securing agreement on the proposed action plan and financial strategy to move from the three demonstration projects to a larger, more comprehensive Global Resources Program.

To build support and secure advice on the Tactical Plan, the ARL Research Collections Committee proposes a multi-step process for consultation, culminating in the adoption of an action plan for scaling up to a Global Resources Program.

Target dates include:

• April 15, 1996	AAU/ARL Research Libraries Project Steering Committee
• May 15-17, 1996	ARL Membership Meeting Discussion with ARL Directors
• Summer 1996	Establishment of an advisory committee
• Summer-Fall 1996	Colloquia cosponsored by ACLS
• October 15-18, 1996	ARL Membership Meeting Discussion with ARL Directors and adoption of the Tactical Plan and financial strategy.
• October 20-22, 1996	AAU/ARL Research Libraries Project Steering Committee, discussion at the AAU plenary session, and adoption of the Tactical Plan and financial strategy

ASSOCIATION OF RESEARCH LIBRARIES

DRAFT

Tactical Plan for the AAU/ARL Global Resources Program

Proposed by the ARL Research Collections Committee

MARCH 1996

I. EXECUTIVE SUMMARY

A key goal of the AAU/ARL common action agenda is to improve access to and delivery of international research resources. Efforts are underway to build a network-based, distributed program for development of foreign language, area and international studies materials among U.S. and Canadian research libraries. During the initial phase, three demonstration projects target research materials that originate in Latin America, Japan, and Germany. ARL's Research Collections Committee provides overall guidance for these projects.

The AAU/ARL Research Libraries Project Steering Committee at its October 15, 1995 meeting challenged ARL to develop strategies for scaling up the three demonstration projects and for overcoming existing barriers. The ARL Research Collections Committee at its October 18 meeting identified six actions that should be taken to meet this mandate. To move forward with more comprehensive, concerted efforts, the Committee recommends the following immediate steps:

1. The creation of a Global Resources Program with a federated management structure, and hosted by ARL in cooperation with AAU.

2. The appointment of a full-time Coordinator for an initial three-year term with responsibilities for continued development, growth and improvement of the Program.

3. The design of an educational effort to inform campus faculty about the Global Resources Program and to build consensus on the proposed strategies for addressing needs for global resources.

4. Working with the research library community to strengthen and advance area librarianship.

5. Adoption of a proposal for a strategic investment of $300,000 by AAU and ARL institutions to fund program start-up and operation in 1996-1998.

6. Establishment of an advisory committee made up of chief academic officers from AAU and ARL institutions to guide the development of the program.

This tactical plan outlines further the vision and goals for the Global Resources Program, summarizes the context, identifies a set of issues, and describes actions that should be taken by AAU and ARL on those areas where immediate results can be achieved.

II. VISION

The major research universities and their research libraries are proposing the implementation of the Global Resources Program with the long-term objective of linking the global resources of North American universities to form a seamless web of interconnected, coordinated, and interdependent research collections that are accessible to geographically distributed users. Advances in computing and telecommunications technologies, together with the development of the Internet, now make it possible to leverage existing investments in technology and library materials to provide ubiquitous access to global research resources through the creation of a distributed, networked program for coordinated management of global resources. This strategic alliance among major North American universities and libraries will achieve collectively far more than could be achieved individually. It will broaden access to an increasingly global pool of scholarly information and ensure effective support of university teaching and research. Significant benefits can be seen in sharing specialized research resources (obviating the need for duplicative investments) and in improving access to the growing universe of scholarly information resources. Networked access to the aggregate content of the nation's research libraries offers benefits to area studies and international education programs, distance education, independent learning, as well as to collaborative efforts between industry and education.

III. CONTEXT

The AAU/ARL demonstration projects aim to test the viability of implementing such a distributed, networked, coordinated collection management program. Experience with three diverse demonstration projects to-date underscores the different pace in moving forward and different options for expanding current efforts.

ARL's Research Collections Committee has charted the directions of a larger program in the *Strategic Plan for Improving Access to Global Information Resources in U.S. and Canadian Research Libraries*. The Global Resources Plan, as it has come to be known, was endorsed by the ARL Board at its July 25, 1995 meeting. The goals outlined in the plan aim to restore the range of significant foreign publications to the North American collections of books, serials, and other forms of scholarly information adequate for the support of research, teaching and scholarship. The plan proposes the strategic directions and suggests actions the ARL community can take to achieve improved access to and delivery of international research resources. As envisioned in this strategic plan, the three demonstration projects will serve as the start-up phase. They will provide experience in planning for the medium-term phase that will focus on enhancing the distributed North American collection of global resources. The longterm goal is to move toward a world-wide effort.

Sustaining the momentum of the three demonstration projects and scaling up to a comprehensive program will require many organizations and North American research libraries with strong global holdings working in concert and building strong links with the scholarly community.

IV. ISSUES IN ORGANIZING A NETWORKED, DISTRIBUTED PROGRAM FOR ACCESS TO FOREIGN LANGUAGE MATERIALS

The three demonstration projects have brought into sharp focus an array of issues that must be addressed before and as such a program is realized. These center on:

- committing to the technology investments on each campus to expand the electronic infrastructure necessary to support the new avenues of access and delivery to a large number of faculty, students and researchers;
- building support among faculty and students for restructuring local collection development policies and access services;
- addressing copyright issues in order to expand use of electronic storage and delivery mechanisms.
- creating a management structure to facilitate large-scale, economically significant coordinated collection development activities;
- financing the add-on costs of project management and participation; and
- redesigning information access and delivery services to support coordinated collection management program among research institutions.

V. RECOMMENDATIONS

The urgency of addressing these issues in a systematic way was underscored by the AAU/ARL Steering Committee at its October 15, 1995 meeting. This Tactical Plan proposes strategies to remove existing barriers in order to scale up to a larger Global Resources Program. It builds on the efforts of the three demonstration projects already underway and proposes specific implementation steps over the next three years. Given the complexity and diversity of issues to be addressed and the manifold ramifications of restructuring library services, the problems cannot be solved in their entirety and all at once. The purpose of the Tactical Plan is to recommend initial steps that lead in the right directions and that will achieve improvements over time, and generally at lower aggregate costs. To make it happen, the ARL Research Collections Committee has identified the following actions that should be taken immediately.

1. The creation of a Global Resources Program with a federated management structure and hosted by ARL in cooperation with AAU.

The most immediate requirement is creating an organizational structure for scaling up and for continuing development, growth and improvement of the Global Resources Program. To dramatically advance the Program requires a range of activities, including mobilizing action, working with ARL libraries to expand the scope of sharing global resources, coordinating a series of interdependent projects, policy-setting, decision implementation, and fund-raising. The proposed Global Resources Program management framework has two components:

a. Program Implementation

The ARL Research Collections Committee concluded that there is a need for a strong base from which the Program can be overseen. The Committee recommends that ARL in collaboration with AAU should carry out the overall implementation and coordination of the Program. ARL would provide the needed forum to (1) bring together key national organizations such as the Center for Research Libraries and the Library of Congress as well as the major research libraries, scholarly societies, and other stakeholders; (2) facilitate decision-making in creating the collaborative collection management systems for all world areas; and (3) provide a way to marshall and direct financial resources. The AAU/ARL Research Libraries Project Steering Committee would monitor the Program implementation.

b. Governance Structure

The ARL Research Collections Committee recommends a federated governance structure. ARL Libraries interested in participation should form joint venture partnerships for each world area. The Latin Americanist Research Resources Project would serve as the model, which is characterized by pluralistic decision making, close links with the scholarly user community, formalization of roles and responsibilities of participating libraries, and active involvement of area bibliographers. Overall policy direction would be provided by the ARL Research Collections Committee.

2. The appointment of a full-time Coordinator for an initial three-year term with responsibilities for continued development, growth and improvement of the Program.

The ARL Research Collections Committee also underscored the need for staff support for scaling up and launching the Global Resources Program. The Committee recommends that ARL should appoint a full-time Program Coordinator for a three-year term. The Program Coordinator would provide the needed ongoing coordination among the different projects and with regional and national resource sharing programs. The primary responsibilities will be to:

- develop at least two additional projects targeted on materials originating in Africa and South or Southeast Asia;
- promote and initiate participation by ARL libraries in the Program;
- maintain close contact with and provide support to ongoing demonstration projects;
- work with foreign area library committees to develop additional projects;
- publicize the program to the scholarly community and work with ACLS to conduct a series of colloquia;
- provide training for area studies librarians;
- assist in identifying funding agencies and writing grants; and
- mobilize action to broaden the scope of the Global Resources Program.

3. The development of an educational effort to inform campus faculty about the Global Resources Program

Central to the success of the Global Resources Program is winning the support of faculty and students for restructuring local collection development policies and access services. Implicit in the move to interdependent library collections is a fundamental shift in the ways in which faculty, students, and scholars obtain library resources. As reliance grows on shared, digitized resources, there will be a gradual transformation of the local collections. A successful implementation strategy will have to balance the inevitable tension between continuing existing local collection strengths and growing reliance on consortial collections. The faculty, in particular, must be partners in shaping the long-term strategies for managing distributed foreign acquisitions and support the proposed cooperative strategies and electronic resource sharing. Two immediate steps are to:

- replicate on other campuses the programs on the AAU/ARL Research Libraries action agenda that were conducted at Duke and Pittsburgh universities. There is a need for leadership within ARL and AAU to underscore to the campus community that the broad vision of the project is to increase access to a wider array of resources. The suggested series of meetings between faculty, discipline based creators (scholarly societies), librarians, and campus administrators would assist campus level efforts. The intent would be to propose actions at the level of the individual university to promote the goals and strategies of the new system.

- partner with scholarly societies. ARL, working with the American Council of Learned Societies, is developing a series of colloquia to inform the scholarly societies about the coordinated program for global resources and to build consensus on the proposed strategies for addressing scholars needs for global research materials.

4. Working with the research library community to strengthen and advance area librarianship.

Just as area studies librarians have been responsible in the past for the success of building comprehensive area collections, their area expertise, experience and support will be essential in the future. They will have the responsibility for implementing the broad agreements to participate in a global resource sharing network and for resolving tensions between the new policies and a historic commitment to build extensive local area collections. A training program for area studies librarians is thus a high priority.

VI. FINANCIAL PLAN FOR 1996-1998

There is a clear need to commit resources to finance the start-up costs over the initial three years. The success of scaling up rests on fashioning a sustainable financial plan. The experience with the three pilot projects underscores the crucial role of funding support in moving forward. The Latin Americanist Research Resources Project, which has benefitted from two major grants from The Andrew W. Mellon Foundation and financial and staff resource contributions from the 32 participating libraries, has made significant progress. Conversely, the lack of funding for a project coordinator for the German project has inhibited project progress. In a middle position is the Japan Project, where OCLC supports a project coordinator on a part-time basis. While outside grants have contributed to the development of the project server, there are no project funds for supportive services, such as loading the project journal files.

The ARL Research Collections Committee considered several options for funding the creation of a comprehensive Global Resources Program. To ensure rapid implementation, the Committee proposes a strategic investment by AAU and ARL institutions to fund Program start-up and operation for 1996-1998. Such an investment would signal the active support of the AAU and ARL leadership for the Program to the campus communities, reflect top-level commitment to restructure the ways libraries provide information services, and provide the means to move forward rapidly. In the short term, funds are required to create the organizational and technical infrastructure, coordinate a series of interdependent, area-based projects, and create an economically viable program that will be sustained by the participating libraries.

It is estimated that a combined investment of $300,000 is required to make substantial progress over the next three years. The resources are required for two components as outlined below:

a. Management and staffing costs

It is estimated that $200,000 is needed for staff salary, travel, and other program-related expenses for the initial three-year period. The annual cost of approximately $66,600 is based on the experience with the Latin Americanist Research Resources Project.

b. Technology-related costs

Using the experience so far as a benchmark, it is projected that a minimum of $100,000 is needed for loading special files, project-related programming, and the requisite storage capacity on host servers.

One essential requirement for each area-based project is a client/server for providing users with efficient access to electronic information resources. The Latin Americanist Research Resources Pilot Project underscored the vital importance of the availability of a robust network gateway, UT-LANIC, the Latin American Network Center at the University of Texas, which is the host for the project database of table of contents information. The Project has also provided data on the costs of mounting special databases and the ongoing storage and maintenance costs.

The longterm goal of the program is becoming economically sustainable through reallocation of acquisitions funds by the participating libraries. Just as no program can be sustained over time if it is dependent for its basic operation on grant funds, no program can be launched without an initial investment.

Recognizing the challenge of funding the start-up period, the ARL Research Collections Committee recommends securing advice and agreement on the proposed financial plan from the advisory committee to be established by AAU and ARL.

VI. TIMETABLE AND IMPLEMENTATION PLAN FOR LAUNCHING THE GLOBAL RESOURCES PROGRAM

The three demonstration projects are contributing to and will be assimilated into a comprehensive Global Resources Program. There are three phases with a series of interconnected activities for moving to a larger program.

- 1995 - 1996: Evaluation of demonstration projects
  Demonstration projects fully operational
- 1996 - 1997: Scaling up the demonstration projects and expanding to two new world areas: Africa and Southeast Asia
- 1998 - Operational phase

Phase One: Evaluation of Demonstration Projects

The AAU/ARL demonstration projects are providing experience with three distinct approaches to the coordinated collection management of non- U.S. publications and the systematic provision of access and delivery services. During 1996 a detailed analysis of the costs and benefits will be conducted. Assessments of these projects will also yield evaluations of three sets of methods and organizational arrangements for the operation of coordinated collection management programs focused on foreign materials.

Phase Two: Scaling up the Demonstration Projects

Implementation efforts of the three demonstration projects will continue during 1996. As each project moves to the operational phase, a central effort will be to ensure continued development, growth and improvement in an ongoing economically sustainable way.

The planned steps to scale up the demonstration projects are:

LATIN AMERICANIST RESEARCH RESOURCES PROJECT

- Expanding the Mexican and Argentine table of contents database on UT-LANIC, and streamlining the article request process through the Interlibrary Loan link;
- expanding coverage beyond Argentina and Mexico to other Latin American countries, with Brazil and Peru as the immediate priorities;
- exploring a two-pronged approach to employ advanced communication technologies to share and supply digital source materials - one predicated on networked access to electronic resources created in Latin America, and the other predicated on digitizing print resources under the auspices of the project; and
- building partnerships with Latin American institutions.

GERMAN DEMONSTRATION PROJECT

- improving complementary systems for acquiring, cataloging, and document delivery of German political science materials;
- expanding the project scope to encompass additional German subjects, beginning with other social science disciplines and then moving into humanities and other disciplines; and
- seeking additional partner libraries in Germany for reciprocal agreements on creating and making available electronic resources.

JAPANESE SCIENTIFIC AND TECHNICAL INFORMATION PROJECT

- expanding, as rapidly as possible, into serials in additional disciplines in science and technology, into serials in the humanities and social sciences, and into materials in other formats;
- enhancing the project's World Wide Web page maintained at Ohio State University;
- continuing to broaden the contacts and relationships with Japanese libraries;
- improving abstracting and indexing services' coverage of Japanese titles; and
- increasing the bibliographic access to North American holdings of Japanese materials.

Phase Three: Expanding to New Areas

The next step – and a very large one – is to move from the three small-scale demonstration projects to a larger, more comprehensive Global Resources Program that will encompass the eight major world areas, including Africa, East Asia, Eastern Europe and the Independent Republics, Latin America, Middle East and Northern Africa, South Asia, Southeast Asia, and Western Europe. As a general strategy for extending this program, efforts will concentrate on those areas where the experience of the demonstration projects indicates the greatest possibility for success and the highest payoff. The ARL Research Collections Committee proposes that Africa and Southeast Asia be the next target areas. The Africana Librarians Council and the Committee on Research Materials on Southeast Asia are discussing development of a project at their respective meetings in April.

The ARL Research Collections Committee believes that the proposed sequencing of activities and commitment of financial resources lay the foundation for achieving economically significant collaborations on global resources. The expected outcomes at the end of the three-year period are:

- Establishment of the policy and financial framework to advance the program;
- Operational projects in five world areas (Africa, East Asia, Latin America, Southeast Asia, and Western Europe);
- Evaluation of the demonstration projects;
- Ongoing educational program to engage campus communities in implementing the chosen strategies on each participating campus;
- Successful transition to an economically self-sustaining program;
- Development of plans for projects in the remaining three world areas (Eastern Europe and the Independent Republics, Middle East and Northern Africa, and South Asia);
- Comparative data that will assist research libraries in collaborative services; and
- Comparative data on costs and benefits.

ARL
A BIMONTHLY NEWSLETTER OF RESEARCH LIBRARY ISSUES AND ACTIO

184 February 1996

AAU ARL Research Libraries Project: Update Report 4
New Learning Communities Conference 6
From Situational Leadership to SuperLeadership 10

Current Issues

SCHOLARSHIP, RESEARCH LIBRARIES, AND GLOBAL PUBLISHING

by Jutta Reed-Scott, Senior Program Officer for Preservation and Collections

ARL libraries face a frustrating paradox as they support area studies and international education programs: North American research libraries' coverage of the world's publishing output is diminishing at a time when demand for international information is increasing. This inconsistency occurs despite increasing emphasis, in the public and private sectors, on international interdependence, despite increasing commitments in research universities to fostering "internationalization" in both the curriculum and in research, and despite the exponential growth of available foreign language titles in general.

Over the past decade U.S. and Canadian research libraries have faced many pressures: expanding scholarly disciplines and the growth of interdisciplinary studies; the demands of scholars for new and expanded services; the increase in the number of formats collected; the need to preserve the collections from the ravages of decay; the move to online catalogs; and budget constraints that affect all library efforts. These challenges intensify the disparity between available financial resources to acquire global resources, a business community participating in a global marketplace, a research community working across international boundaries, and the information needs of a world undergoing dramatic change. Additionally, technological advancements and the movement toward an information society have brought increased opportunities and stresses.

North American research libraries' collection coverage of global publishing output, once thought to be comprehensive, is declining. Each year research libraries in the United States and Canada, in the aggregate, are able to purchase a smaller portion of internationally published materials than they did the year before. In response to difficult financial times, many ARL libraries have reduced the scope of their global information resources by scaling back the budgets for area collections in order to protect acquisitions of more heavily used English language materials. This results in serious gaps in collections and poses a long-term threat to research and scholarship. Given that foreign materials are frequently in-print for only a short time, these gaps cannot easily be remedied in the future.

In June 1991, with support from The Andrew W. Mellon Foundation, ARL began a four year study of trends in global information resources in ARL libraries. Scholarship, Research Libraries, and Foreign Publishing in the 1990's, the ARL Foreign Acquisitions Project, was directed toward developing a clearer understanding of the forces influencing North American research libraries' ability to build and maintain collections of publications produced outside of the United States and Canada. The final report of this project, *Scholarship, Research Libraries, and Global Publishing* was completed in December 1995.

Understanding the Challenges

The project findings underscore a pattern of retrenchment across most collecting areas and an aggregate reduction in the number of unique titles acquired from overseas. The most influential factors underlying this trend are a rapid growth in world book production and sharp increases in the cost of library materials acquired overseas. These upward trends witnessed over the past decade will not only

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CURRENT ISSUES

Continued

continue but are certain to accelerate.

Additionally, global political, social, and economic changes are a powerful stimulus for new scholarly work. For example, dramatic shifts such as the collapse of the USSR, the emergence of nationalism in the successor states, the transformations in Eastern Europe, the rise of Asian economic powers, and the movement toward democracy in Latin America create new research as well as demands for new research resources. In a time of flux in international affairs, an inevitable conclusion is that the production of foreign information resources will continue to expand. Statistics on annual world production of book and journal titles show an estimated 45 percent increase between 1980 and 1990.

Not only has worldwide book production increased but during the same decade, the unit costs of this expanding universe of foreign acquisitions have sharply risen. The single most influential factor affecting prices of materials published overseas is the sharp decline in the value of the dollar against major currencies. The declining dollar results in higher prices for materials acquired from outside the United States and Canada.

Another trend identified in the project is that during the last decade research has become steadily larger in scope and more international. In some fields this represents the increased demands for research to solve specific economic or political problems such as environmental pollution or political instability. In other fields, the growing emphasis on cross-cultural analysis is a powerful stimulus. For example, the study of religious and cultural conflicts is creating demands for data from different corners of the globe. Scientific and technological efforts are increasingly collaborative on an international basis. As developments occur in laboratories around the world, scientists in the U.S. and Canada depend on awareness of these developments for progress in their own research. In addition, the results of research are increasingly being published outside North America. The expanding boundaries of research add to the pressures on libraries and their parent institutions not only to sustain but to expand access to international resources.

The detailed studies undertaken over the course of this project provide persuasive evidence of a growing gap between the level of acquisitions of overseas materials and the explosion of global knowledge. While the absence of uniform statistical data make it difficult to measure the exact dimensions of the aggregate decline, the evidentiary record arises from the assembled assessment data: analyses of national cataloging data for the period 1988-1994; fourteen area- and country-specific studies; surveys of bibliographers; surveys of about forty vendors supplying overseas materials; and five sampling studies. Although the needs for global research materials may differ depending on the specific world area, the commonality of the underlying problems is striking.

The study identifies the following nine factors as having the greatest influence over the state of global collections in the 1990's:

- Area-relevant library expenditures are natural and highly visible candidates for curtailment when institutional resources become constrained.
- The rapid increase in scholarly communication and collaboration across national borders and new scholarly perspectives, such as cross-culturism, are internationalizing scholarship itself.
- Cutbacks in foreign acquisitions are driven by local demands with little consideration of the effects on the entire North American access system for highly specialized global resources.
- In the aggregate, ARL libraries are spending more and more and yet are acquiring an ever-decreasing portion of the world's publishing output.
- Data indicate a declining rate of foreign language acquisitions, a decrease in the percentage of unique titles in many subject areas, and an increased concentration on core materials.
- Price trends of foreign publications document the sharp price increases that have occurred in East Asia, Latin America, Western Europe and other overseas regions.
- Publishing output in developing countries has increased by 58% between 1980 and 1990.
- The corollary costs of acquisitions, bibliographic control, and collection maintenance are disproportionately high for international materials.
- The pressures on research libraries by users to acquire more material from other countries have intensified particularly as electronic resources, audio cassettes and videotapes have become more prominent.

A Look to the Future

A central premise of the ARL assessment is that information technologies afford an unprecedented opportunity to rethink the ways research libraries manage global resources and to fashion cooperative strategies for ensuring the success of the aggregate holdings. Advances in computing and telecommunications technologies, together with the development of the Internet, now make it possible to leverage existing investments in technology and library materials to provide ubiquitous access to global research resources through the creation of a distributed, networked program for coordinated management of global resources.

During the next decade, research libraries will operate in an ever more interconnected world. A key issue for libraries today and in the future is: "surviving in an age of interdependence. Increasingly, individual libraries

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must act as if each is a part of a world library. Instead of being self-sufficient, each library must find ways to put materials from the world library into the hands of its own patrons and must stand ready to supply materials from its own collection to others, quickly and cost-effectively."[1]

The challenge of managing library collections in the 1990's entails both significant conceptual and structural-institutional changes. This applies not only in the domain of area and foreign language acquisitions, but in the management of research collections as a whole. Conceptually, building a network-based, distributed program for coordinated development requires changing the philosophy and culture of collection selection, management, and user access. For all libraries the challenges are how to manage the complex transition from print-based, institutional collections to national and ultimately international networked resources.

ARL libraries are strategically positioned to assume strong leadership roles in shaping the distributed digital libraries of the 21st century. The ARL project contributed to and benefited from the separate but closely linked work of the Association of American Universities (AAU) Acquisition and Distribution of Foreign Language and Area Studies Materials Task Force. The establishment of the Task Force in 1993 provided AAU and ARL a unique opportunity to define new cooperative programs. The Task Force created an action plan to ensure access to global resources within a "distributed North American collection of foreign materials." Building on the work of the AAU Task Force, ARL in partnership with AAU, has launched three demonstration projects to test the viability of implementing a distributed, networked, coordinated collection management program for foreign research materials. ARL's Research Collections Committee has charted the directions of a larger program in the *Strategic Plan for Improving Access to Global Information Resources in U.S. and Canadian Research Libraries.*[2]

The process of implementing the AAU/ARL Global Resources Program has just begun, and there are already several insights gained from the three AAU/ARL demonstration projects and from other collaborative collection management efforts. It would be a serious error, however, to underestimate the complexity of implementing the Global Resources Program. Sustaining the momentum of the three demonstration projects and scaling up to a comprehensive program will require many organizations, including North American research libraries with strong collections of global resources, to work in concert and to build strong links with the scholarly community.

Mobilizing campus communities is an essential success factor. Borrowing from Richard Lambert: "The central problem is clear: how do we accomplish the aggregate goals...in a system in which disaggregation of education decisions is the dominant motif."[3] Within the U.S. higher education system, "the most dominant characteristic is a powerful culture of institutional autonomy."[4] Implicit in the move to build interdependent library collections is a fundamental shift in the culture or the expectations of faculty, students, and scholars. It is clear that users must change the ways they obtain library resources. It is equally clear that libraries must overcome deficiencies in interlibrary loan services and improve the delivery of materials to users. Resources will have to be adjusted and reallocated from those library operations "associated with building a self-sufficient collection" to "those associated with cooperative collection development and sharing."[5]

A successful implementation strategy will have to balance the inevitable tension between institutional interests and consortial needs. Central to success is building support among faculty and students for restructuring local collection development policies and access services. There are two challenges. One is to engage the campus community in shaping the long-term strategies for managing foreign acquisitions. The other is to develop a common understanding of both the current problems affecting access to foreign acquisitions and the proposed improvements through strengthened coordinating structures and electronic resource sharing.

Given the complexity and diversity of issues to be addressed and the manifold ramifications of restructuring library services, it is unrealistic to expect that the problems will be solved in their entirety or immediately. This is the time to act however, and to take maximum advantage of information technologies and networks, to move toward a multi-institutional, collaborative program that will expand North American access to global resources.

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[1] Shirley K. Baker, "Introduction" in *The Future of Resource Sharing* (edited by Shirley K. Baker and Mary E. Jackson) in *Journal of Library Administration*, vol. 21, no. 1/2 (1995): 1.

[2] The plan builds on the final report of the AAU Task Force on Acquisition and Distribution of Foreign Language and Area Studies Materials. See the ARL Gopher <URL:http://arl.cni.org>.

[3] Richard D. Lambert, "International Studies and Education: The Current State of Affairs," *International Education Forum*, vol. 10, no. 1 (spring 1990): 6-7.

[4] Bill E. Frye, "The University Context and the Research Library," *Library Hi Tech*, issue 40 - 9:4 (1992): 35.

[5] Anthony M. Cummings, et al., *University Libraries and Scholarly Communication. A Study Prepared for The Andrew W. Mellon Foundation.* (Washington, DC: Association of Research Libraries, 1992): 142.

Scholarship, Research Libraries, and Global Publishing will be available from ARL Publications, 21 Dupont Circle, NW, Washington, DC 20036, (202) 296-2296, (email: arlhq@cni.org).

APPENDIX IV

ASSOCIATION OF RESEARCH LIBRARIES

REPORT ON ASSOCIATION ACTIVITIES

OCTOBER 1995–APRIL 1996

HIGHLIGHTS

Mary Case to Direct New Office of Scholarly Communication

ARL Directory of Electronic Journals Tracks 150% Growth in Number of Titles

Communications Decency Act Challenged

Changes to Copyright Law Proposed

AAU/ARL Steering Committee Revisits Electronic Scholarly Publishing Strategy

Endorsed Research Collections Proposal for Global Resources Program

U.S. Implementation of ISO Ill Protocol Sponsored

CNI Studies Cost Centers and Measures for Networked Information

Erosion in Collections of Foreign Publications is Documented, ARL Response Proposed

ARL, Modern Language Association Examine the Significance of Primary Records

Diversity in Canadian Libraries Explored

OMS Supports Strategic Planning, Organizational Review & Design

SPEC Issues Kits: Non-Librarian Professionals,
Technical Services Workstations,
Digitizing Technologies for Preservation

ARL Career Resources Website Launched

New Training Institute on Facilitating Change Offered

VPO Develops a User Survey Initiative, Workshop Announced

Workshop Offered on the Role of Assessment in Advancing Diversity

OCLC Develops Linkages for AAU/ARL Latin American Research Resources Project

Table of Contents

ARL Capabilities

1. Scholarly Communication and Information Policies (Objective 1)

ARL Objective 1: To understand, contribute to, and improve the system of scholarly communication and the communication and information policies that affect the availability and usefulness of research resources.

1.1 Office of Scholarly Communication 156
    1.1.1 Scholarly Communication Committee 157
    1.1.2 Firm Subscription Prices Working Group 157
1.2 Federal Relations and Information Policy Development 157
    1.2.1 Committee on Information Policies 159
1.3 Intellectual Property and Copyright Issues 160
    1.3.1 Working Group on Copyright Issues 162
1.4 AAU/ARL Action Agenda 162
    1.4.1 AAU/ARL Research Libraries Steering Committee 166
    1.4.2 AAU/ARL Intellectual Property Task Force 166

2. Access and Technology (Objectives 2 and 5)

ARL Objective 2: To make access to research resources more efficient and effective.
ARL Objective 5: To assist member libraries to exploit technology in fulfillment of their mission and assess the impact of educational technologies on scholarly communication and on the role of research libraries.

2.1 Access and Technology 167
    2.1.1 Committee on Access to Information Resources 168
    2.1.2 Work Group on Scientific and Technical Information 169
2.2 Coalition for Networked Information 169
    2.2.1 Steering Committee for the Coalition 170
2.3 HEIRAlliance 171

3. Collection and Preservation (Objectives 3 and 4)

ARL Objective 3: To support member libraries' efforts to develop and maintain research collections, both individually and in the aggregate.
ARL Objective 4: To support member libraries' efforts to preserve research collections, both individually and in the aggregate.

3.1 Collection Services 171
    3.1.1 Committee on Research Collections 171
    3.1.2 Committee on Preservation of Research Library Materials 172

4. Staffing and Management (Objectives 6 and 7)

ARL Objective 6: To identify on an ongoing basis the capabilities and characteristics required for research library personnel to best serve their constituencies, and to assist member libraries and educational programs in the recruitment, development and effective use of staff.
ARL Objective 7: To assist member libraries in augmenting their management capabilities.

4.1 Diversity and Minority Recruitment/Retention 173
    4.1.1 Committee on Minority Recruitment and Retention 174
4.2 Office of Management Services 175
    4.2.1 OMS Organizational Development 175
    4.2.2 OMS Information Services Program 176
    4.2.3 OMS Training and Staff Development Program 177
    4.2.4 Committee on the Management of Research Library Resources 178
    4.2.5 Advisory Committee for the Office of Management Services 179

BEST COPY AVAILABLE

5. Performance Measures (Objective 8)

ARL Objective 8: To describe and measure the performance of research libraries and their contributions to teaching, research, scholarship, and community service.

- 5.1 Statistics and Measurements Program 179
  - 5.1.1 Committee on Statistics and Measurements 181

6. Supporting Capabilities

- 6.1 Governance 182
  - Status Report on Committees and Selected Advisory and Project Groups 183
- 6.2 Communications and External Relations 185
  - 6.2.1 ARL Publications Program 185
  - 6.2.2 Electronic Communications and Technology 186
- 6.3 Membership Meetings 187
- 6.4 International Relations 188
- 6.5 General Administration 188

7. Research and Development

- 7.1 Office of Research and Development 189
  - Summary of 1995-1996 Grant Funded Activities 189
    - 7.1.1 ARL Visiting Program Officer Program 191

Section 1: Scholarly Communication and Information Policies

1.1 Office of Scholarly Communication

This capability has undergone a name change to better reflect the interest of the Association in all facets of scholarly communication. The objective of the Office of Scholarly Communication is to maintain and improve scholars' access to information. OSC undertakes activities to understand and influence the forces affecting the production, dissemination, and use of scholarly and scientific information. The Office seeks to promote innovative, creative, and alternative ways of sharing scholarly findings, particularly through championing new and evolving electronic methods of recording and disseminating academic and research scholarship.

The Office also maintains a continuing educational outreach to the scholarly community in order to encourage a shared "information conscience" among all participants in the scholarly publishing chain: academics, librarians, and information producers. The activities of this office build on the results of the ARL Serials Prices Project as well as interest and research ongoing in the profession. The capability is advanced and OSC receives guidance through the work of the ARL Committee on Scholarly Communication.

The first five-year phase of the Office reached a natural reexamination point with the departure of Ann Okerson, the founding director of OSAP, at the end of September 1995. After a thorough search process, Mary Case, Director of Program Review and Special Projects in the Office of the Vice President for Administration and Planning at Northwestern University, and formerly Head of Serials and Acquisitions in the Northwestern University Library, was chosen as the director of the newly renamed capability, the Office of Scholarly Communication. Nancy Cline, ARL President, Elaine Sloan, Chair, ARL Committee on Scholarly Communication, John Vaughn, Executive Officer, Association of American Universities, and Paul Evan Peters, Executive Director, Coalition for Networked Information, participated in the final interview process.

Summary of Activities
Activities between October 1995 and April 1996 were minimal in the interim between the departure of Ann Okerson and the selection and arrival of the new director, Mary Case. Susan Jurow, Director of ARL's Office of Management Services, provided overall coordination and oversight of OSAP and the Scholarly Communications Committee activities while Dru Mogge, Electronic Services Coordinator, continued to operate the day-to-day components of the program. Mary Case assumes the position as Director of OSC on June 1.

Championing progress and innovation through publishing and key projects.
Several ongoing projects were particularly effective in the ARL goal of championing new ideas in scholarly communication. These include:

- AAU/ARL Research Libraries Project. The AAU (now AAU/ARL) Research Libraries Project is an area of special emphasis for ARL. These projects are designed to collaboratively foster the transformation of the way libraries and universities do their business. The OSC is responsible for coordination of project reports. (See Section 1.4)

- The AAU/ARL Intellectual Property Task Force (IP-TF) held a meeting on March 25 to finalize the "call for proposals" for the Electronic Scholarly Publishing (ESP) Program, to complete a draft of "guiding principles" for licensing negotiations with the Copyright Clearance Center (CCC), and to prepare for the AAU/ARL Research Libraries Steering Committee Meeting on April 15.

- *ARL Directory of Electronic Journals, Newsletters, and Academic Discussion Lists.* This project advances electronic/Internet publishing of journals and has become the standard reference book in its area. The e-journal/newsletter directory has experienced enormous growth. The listings in the fifth annual edition, published in 1995, were 50% larger than the previous fourth edition of May 1994. As the 6th edition goes to press, there will be approximately 1,700 titles, more than a 150% increase.

The increase is attributable primarily to two factors. First, Netscape offers an exciting and easy way to present non-textual materials, such as images, and is widely available to producers and readers as well. More individuals and small organizations have been attracted to the e-medium for serial publications. Second, print publishers' prototype projects for e-versions of their current journals are beginning to come online. The entire journals lists of a handful of publishers who are now or shortly will be making titles available through the WWW.

The majority of the actual research and keying for the e-journals sections is carried out by three interns from the Library and Information Science Program at Catholic University: Jennifer Page, Colleen Keller, and Ann Doty. The project was directed by Dru Mogge, Electronic Services Coordinator.

The *Directory* is by far the most heavily used resource on the ARL Gopher. It was updated in June 1995 following the publication of the 5th edition of the print version. Discussions are being held to develop a prototype license agreement to distribute the electronic database to the vendor and information community as an additional means of outreach and income.

- *Scholarly Journals at the Crossroads: A Subversive Proposal for Electronic Publishing.* Published in June 1995, this 242-page work, edited by Ann Okerson and James O'Donnell, captures an Internet discussion on scientific scholarly journals and their future, with an extensive organization, introduction, and conclusion. As an important snapshot of what different participants in the information chain think of the prospects of e-journals for the future of scholarly communication, this has been an extremely popular publication. It sold out of its first print run and was reprinted in March 1996.

- Quick SPEC Survey. A survey on cutbacks in library materials purchasing was conducted by the OMS Information Services Program for the OSC. An article on the findings is forthcoming in the ARL Newsletter.

Advancing Electronic Agenda through the Electronic Services Coordinator
(See Section 6.2.2)

1.1.1 Scholarly Communication Committee

This Committee was established in February 1991 by the ARL Board of Directors to help the Association understand, contribute to, and improve the system of scholarly communication. The Committee is charged to monitor developments, determine critical issues requiring ARL attention, inform members, and design strategic responses that can serve to influence the future of scholarly communication. The Committee also advises and guides the ARL staff on matters regarding the plans and strategies of the Office of Scholarly Communication.

Between the October 1995 and May 1996 ARL membership meetings, the committee has worked primarily on two issues: contributing to the work of the AAU/ARL IP Task Force, and providing advice and assistance to the ARL staff in the recruitment and hiring of a new director for the Office of Scholarly Communication.

Members:	Joe Boisse	(1994-1996)
	Scott Bennett	(1996-1998)
	Susan Brynteson	(1996-1998)
	Eileen Hitchingham	(1996-1998)
	Sharon Hogan	(1996-1998)
	Margot Montgomery	(1995-1997)
	Carole Moore	(1995-1997)
	Carlton Rochell	(1995-1997)
	Elaine Sloan, Chair	(1996-1997)

Staff Liaison: Susan Jurow/Mary Case (effective June 1)
Duane Webster

1.1.2 Firm Subscription Prices Working Group

To assist in efforts to obtaining firm serial subscription prices in a timely fashion, the Board approved formation of a working group under the aegis of the Scholarly Communications Committee. The group consists of volunteers who offered their services to ARL to work on this issue. Its objectives are 1) to establish a process of identifying firm price requirements by ARL libraries, and 2) to establish a dialogue with the vending and publishing community to attain prices for the subscription year by August or September of the previous calendar year. While actively sponsoring publisher and vendor meetings in its early years, for 1996, the Working Group is expected to monitor developments in a low-key activity mode.

Members:
Tony Angiletta
Robert Holley
Scott Bennett
Paula Kaufman
Sue Martin
Dale Canelas
Charles Miller
Lois Ann Colaianni
Emily Mobley
Merrily Taylor
Sheila Creth
Jim Neal
Fred Friend
Barbara Smith
Paul Gherman
Graham Hill
Carla Stoffle
Sharon Hogan

Staff Liaison: Susan Jurow/Mary Case (effective June 1)

1.2 Federal Relations and Information Policy Development

The Federal Relations and Information Policy Program is designed to: monitor activities resulting from legislative, regulatory, or operating practices of international and domestic government agencies and other relevant bodies on matters of concern to research libraries; prepare analyses of and responses to federal information policies; influence federal action on issues related to research libraries; examine issues of importance to the development of research libraries; and develop ARL positions on issues that reflect the needs and interests of its members. This capability is governed by the ARL

Information Policies Committee. A Subcommittee on Government Information provided the Information Policies Committee with guidance on government information in an electronic environment in 1995. The ARL Working Group on Copyright Issues plays an advisory role with regard to Copyright and Intellectual Property Issues. In addition, a Task Force on Preservation of Copyrighted Materials was established to guide ARL staff as they pursue strategies to shape and influence copyright discussions on preservation of copyrighted materials. This Task Force completed its work in late 1995.

In 1995, the Federal Relations capability developed the *Federal Relations Notebook* (ARL/FRN). The ARL/FRN is intended to help ARL members keep abreast of the legislative landscape as well as of the rapidly changing issues, players, legislative vehicles, and priorities within the U.S. and Canadian federal governments. The ARL/FRN also provides a framework for the Federal Relations E-news distributed to the ARL Directors by the Executive Director on a monthly basis. These monthly Federal Relations E-news are written by Prue Adler and edited by Patricia Brennan. They are posted on the ARL Gopher (arl.cni.org) under the heading Information Policy/ARL Federal Relations Notebook Updates. These E-news complement occasional action alerts to members on different topics. Plans are underway to make this service available via the WWW in 1996.

Summary of Activities
The priorities of the capability are:

- copyright and intellectual property issues;
- government information issues;
- telecommunications, networking, and digital library issues; and
- other issues of importance to research libraries such as appropriations of selected federal agencies.

Copyright and Intellectual Property
(See Section 1.3)

Information Policy Legislation and Related Activities

Government Information Dissemination. Several bills have been introduced that propose significant changes to government information dissemination programs. ARL staff met with congressional and executive branch staff to discuss these proposals. ARL, with others in the library community, has responded to numerous GPO proposals, including the Government Printing Office Transition Plan. Prue Adler is a member of the advisory committee assisting GPO on how the agency could move to a more electronically-based program. Additionally, ARL, AALL, and ALA wrote in support of continued online access to the Securities and Exchange Commission's EDGAR database. Under the auspices of the Information Policies Committee, a meeting is scheduled for May 1 to develop a strategic plan for the Association on these issues.

Influencing Agency Information Programs. ARL continues to collaborate with others in the public interest community and with agencies in implementing the Government Information Locator Service (GILS) proposal. GILS provides a framework and common approach for federal agencies to make their information resources publicly available. ARL staff worked with NTIS on implementing their dissemination program, with a particular focus on depository library issues. NITS has proposed a pilot project for 20 federal depository libraries to receive NTIS resources electronically. ARL wrote in support of NTIS and in opposition to the privatization of NTIS (see ARL Gopher). Legislation regarding NTIS' future is still pending before Congress.

ARL GIS Literacy Project. The project seeks to educate librarians and users about GIS, as well as to develop GIS capabilities in research libraries. Background materials related to this project are now available on the ARL Gopher, including a database of all project participants. The number of libraries participating in the ARL Project continues to grow.

ARL staff participates in numerous discussions and conferences related to the development of a national spatial data standard. The increasing reliance upon GIS by multiple communities, including government agencies and members of the academic and research communities, indicates the need for research librarians to be well situated to provide access to the growing array of digital cartographic and spatial information. Prue Adler is a member of the Board of the National Center for Geographic Information and Analysis (NCGIA), an NSF sponsored consortium.

Telecommunications, Networking, Digital Libraries, and Related Activities

Telecommunications. Promoting the restructuring of the telecommunications infrastructure was a priority of both the Congress and the Administration. ARL's focus in this area has been to: influence specific legislative proposals, including those regarding restructuring the telecommunications infrastructure and networking; working with agencies to implement NII programs and responding to NII proposals; and collaborating with others in the education, library, and public interest communities to promote common positions.

On February 8, the President signed the Telecommunications Act of 1996, which includes provisions that promote:

- massive deregulation for differing industries and in particular, cable;
- reduced restrictions on concentration of media ownership;
- reliance on marketplace solutions to ensure access to telecommunications services; and
- differing approaches to regulation of the Internet with regards to content.

ARL staff conducted congressional visits and worked with others in the library and education communities in support of an amendment to provide discounted rates for schools and libraries. The amendment was included in the Telecommunications Act of 1996. ARL endorsed an ALA filing before the FCC on this topic.

Of particular importance to ARL were the provisions regarding restrictive access to selected information resources. ARL actively opposed provisions included in Title V, the Communications Decency Act (CDA), of the Telecommunications Act of 1996, which sought to prohibit access to indecent or patently offensive materials via the Internet. These provisions would impose fines and criminal penalties for transmitting and/or providing access to these resources. ARL, as a member of the Citizens Internet Empowerment Coalition (CIEC), is challenging the CDA in court.

Networking and Digital Libraries. ARL staff worked with agencies in designing and proposing network applications programs, such as the NASA Information Infrastructure Technology and Applications Program, the NSF/ARPA/NASA digital library initiative (DLI), and the NTIA TIIAP program. This included working with staff of Appropriations Committees in support of these programs. Prue Adler participated in the EOSDIS Users Report, an evaluation of user information needs for global change data, a NSF/ARPA/NASA Project Alexandria Design Review, the six-month review of the DLI, and was a member of a Committee of Visitors for NSF.

ARL with others in the higher education community, including CNI and EDUCOM, published the proceedings of Monterey 1995, "Higher Education and the NII—from Vision to Reality." The conference explored the steps required over the next few years to turn the potential of the advanced information infrastructure into reality for higher education. Prue Adler and Paul Peters are members of the steering committee.

Appropriations
At the end of March, Congress passed the 12th continuing resolution to fund on a temporary basis nine cabinet departments and many agencies. Thus, Congress and the Administration are considering both FY 1996 and FY 1997 appropriations. ARL staff have worked in support of selected agencies' FY 1996 and FY 1997 appropriations during the last six months, including those of the Library of Congress, GPO, NEH, NTIA, NSF, and the Department of Education.

•LC/GPO. In 1995, ARL, ALA, and AALL submitted statements to the House and Senate Appropriations Committees on behalf of the Library of Congress and the Government Printing Office FY 1996 budget requests. ARL was very active on this appropriations bill. Restoring GPO appropriations and the congressional mandate that the Federal Depository Library Program shift to a more electronically-based program were the focus of GPO related appropriations effort. Ensuring a sufficient level of funding for the Library of Congress in the extremely contentious budget discussions was ARL's other focus. The Library of Congress fared well in the very difficult budget environment.

In February 1996, ARL, AALL, and ALA testified in support of the LC and GPO FY 1997 budget request before the House Appropriations Subcommittee, Committee on Legislative. Betty Turock, ALA President and Rutgers University, testified on behalf of the associations.

•National Endowment for the Humanities. NEH continues to operate without a FY 1996 approved budget. Letters and calls from ARL directors were particularly helpful in the House and Senate deliberations on the NEH budget. ARL, with NHA and CPA, submitted a statement for the record in support of NEH's FY 1997 budget request.

•National Telecommunications Information Administration, Department of Commerce. The Senate Appropriations Committee approved deep cuts to FY 1995 and FY 1996 funding of the Department of Commerce. ARL's efforts focused on the NTIA/TIIAP, a program that supports library, education, non-profit, and state and local government information technology projects. The program survived elimination, though the FY 1996 funding was significantly reduced.

•National Science Foundation. ARL worked with others in the higher education community in support of the NSF FY 1996 budget request and reauthorization of the agency. As with many other agencies, NSF does not have a final FY 1996 budget nor a completed reauthorization bill. ARL, as a member of the Consortium of Social Science Associations, submitted a statement in support of the FY 1997 NSF budget request. ARL is now a member of the Science Coalition and of the Coalition for National Science Funding (CNSF).

•HEA. ARL worked with a coalition of higher education groups and associations in support of HEA Title VI FY 1996 and FY 1997 appropriations.

•Non-Profit Advocacy. ARL joined a coalition of over 800 non-profit groups to oppose language in House appropriations bills that would severely restrict the ability of non-profits to work with others in the executive and congressional branches of government. Activities such as filing the amicus brief on the Texaco decision would be prohibited if such provisions were enacted. Action on the appropriations bill is not complete and restrictive amendments continue to be included in appropriations measures.

1.2.1 Committee on Information Policies

At the Committee's meeting in October 1995, members discussed FY96 priorities and requested that staff continue to focus on and respond to these ongoing issues, respectively: copyright and intellectual property; government information dissemination programs, with the understanding that an investment in maintaining more government information in the public domain will, in the long-term, have an impact on ARL's needed investment in copyright and intellectual property issues; telecommunications and networking issues, with a particular focus on digital library applications; and support of agency programs that are of direct importance to research libraries, including those that promote the digitizing of research library resources.

1996 Agenda of Issues:

- Advise on the development of ARL positions
- Monitor and assess other government policies that may have an impact on research libraries
- Advise on efforts to strengthen ARL's capability to communicate with policymakers

Meetings planned in 1996:

Meeting in conjunction with the ARL membership meetings in May and October 1996. Telephone consultations and email conferences will continue as needed.

Members	Jerry Campbell	(1996-1998)
	Sheila Creth	(1996-1998)
	Kenneth Frazier	(1996-1998)
	Fred Heath	(1994-1996)
	Ernie Ingles	(1995-1997)
	Paula Kaufman	(1996-1998)
	Gerald Lowell	(1995-1997)
	Susan K. Martin	(1995-1997)
	Tom Shaughnessy	(1994-1996)
	Robert Wedgeworth	(1996-1998)
	James F. Williams	(1995-1997)
	James Neal, Chair	(1995-1996)
Staff Liaison	Prue Adler	

1.3 Intellectual Property and Copyright Issues

The ARL Board of Directors has identified intellectual property and copyright as a defining set of issues for the future of scholarly communication. All programs were urged to identify ways to advance the ARL agenda in these areas. As a result, many programs contributed recent activities.

Last fall and winter, the ARL Working Group on Copyright developed a set of strategies for expanded research library leadership and impact on proposed copyright legislation. The strategies were reviewed by the ARL membership and changes were proposed and incorporated to produce the following list.

- Implement tactics to slow down the legislative process so that key issues can be identified and debated, including use of institutional legislative liaisons
- Advocate for appropriate change or improvements in the current copyright law
- Affirm and articulate our intellectual property principles as well as important professional tenets in such areas as intellectual freedom and privacy
- Evaluate the proposed legislation against these principles to identify key conflicts and gaps
- Identify and resolve critical philosophical and practical differences and varied interpretations in our own community
- Propose new or alternative legislative language which addresses the needs of the scholarly and higher education communities
- Shape specific programs of library service that maximize the value for readers of the fair use and other limitations on copyright provided by the law
- Improve understanding of the international dimensions of the issues
- Expand awareness of the increased legal vulnerability for libraries and parent institutions under the proposed legislation
- Expand coalition building with the higher education, not-for-profit and technology communities
- Launch an effective and broad-based education and advocacy program on our campuses and in our regions

Summary of Activities

- Reviewed and responded to the Administration's recommended revisions to the 1976 Copyright Act and related NII efforts
- Developed strategies in response to specific legislative proposals such as the NII Copyright Protection Act and the Copyright Term Extension Bill
- Provide background information to the membership on new copyright proposals and progress with development of fair use guidelines
- Distribute regular updates via the federal relations monthly e-notes

Shared Legal Capability for Intellectual Property. ARL is collaborating very closely with others in the library community on copyright and NII issues through the formation of the shared legal capability (SLC).

- Five library associations (ALA, AALL, ARL, MLA, and SLA) are members of the SLC. Since October, members of the SLC met with members of the Administration and congressional staff to discuss many proposed changes to the Copyright Act.

- The SLC submitted statements to both the House and Senate regarding the proposed extension of copyright term and is participating in negotiations with other interested stakeholders on these bills. The Register of Copyright is the facilitator of these negotiations.
- The SLC submitted statements to the House and Senate regarding H.R. 2441 and S. 1284, the NII Copyright Protection Act of 1995. Members of the SLC drafted alternative legislative proposals concerning section 107 and section 108 of the Copyright Act and endorsed proposals by the Digital Future Coalition regarding first sale and ephemeral copying. Other proposals regarding distance education and copyright management information are under consideration.
- The SLC is a participant in the negotiations with online service providers and content owners on online service liability issues. Rep. Goodlatte (R-VA) has convened these sessions to try to find a common ground among these stakeholders. Arnie Lutzker, attorney with Fish and Richardson and SLC legal counsel, is representing the SLC in these discussions.
- Prue Adler and Duane Webster are the ARL representatives to the SLC.

Intellectual Property and NII. During the last six months, ARL staff have been extremely active in intellectual property and copyright debates and discussions. Members of the copyright team have made numerous presentations on these issues. Hearings in the House and Senate in the fall and winter were conducted on H.R. 2441 and S. 1284, the NII Copyright Protection Act of 1995. ARL, with others in the SLC, submitted statements for the record. In addition, ARL staff conducted numerous visits to House and Senate offices to discuss this legislation and H.R. 989, the legislation seeking to extend copyright term.

With others in the public and private sectors, ARL formed the Digital Future Coalition (DFC). This Coalition is comprised of a diverse constituency of library, education, legal, scholarly, consumer, public interest, hardware and software manufacturers, and telecommunications providers, each of which has concerns regarding both the White Paper produced by the Administration and with provisions in H.R. 2441 and S. 1284. The DFC was formed to provide constructive alternative proposals to the White Paper and the legislation. Prue Adler is a member of the DFC steering committee. The DFC has:

- submitted testimony to both the House and Senate on H.R. 2441 and S. 1284;
- conducted numerous visits to meet with Members of Congress, Congressional staff, and members of the Administration on these issues;
- developed alternative proposals to those included in the legislation; and
- commenced a public awareness campaign regarding the critical importance of this legislation.

Conference on Fair Use. The Conference on Fair Use (CONFU) continues to focus on the possible development of guidelines for electronic reserves, distance learning, visual images, and interlibrary loan. At the February 1996 CONFU meeting, the 60+ participants agreed to a November 1996 goal for the development of guidelines. A series of small Working Group meetings have been scheduled that will up to the next plenary CONFU session at the end of May.

At the end of 1995, the Working Group on Electronic Reserves agreed that reaching consensus on a set of guidelines would not be possible. The Working Group consisted of representatives from publishers, users, and library associations. In early January, an informal group representing scholarly societies, university presses, and library associations began a process to revitalize the draft guidelines. A small group of individuals used the earlier drafts and developed a draft with some important changes and modifications. Most of the individuals in that review panel were able to support personally and recommend formal endorsement of these guidelines by their organizations. The March 5, 1996 draft guidelines for e-reserves was distributed to ARL members in April, and to other interested organizations and associations. Feedback from organizations on this draft will be discussed at the May 30, 1996 CONFU plenary meeting.

The Distance Learning Working Group has just begun to meet. Work-to-date has centered on drafting language that would cover live, interactive programs and asynchronous taped programs for later transmission. The Working Group expects to address computer network and WWW delivery of distance learning courses in its next meetings.

The Visual Images Working Group was established in early January to comment on a draft prepared by the College Art Association. The Working Group did forward comments on the CAA draft, but decided to develop a second draft that better reflects the needs of holders of copyrighted images and the users of those works. A draft is expected to be presented at the May 30, 1996 CONFU meeting.

The Interlibrary Loan Working Group met in late March. At that meeting, representatives of both copyright proprietors and user communities agreed that it was premature to develop guidelines for digital transmission of a digital document. The Working Group will meet in early May to discuss the feasibility of developing guidelines for the digital transmission of print materials.

Draft guidelines for multimedia are being developed outside the CONFU process by the Consortium of College and University Media Centers (CCUMC). Participants expect to agree on a set of guidelines within the next several months.

Mary Jackson represents ARL in CONFU and CCUMC meetings.

Copyright Education Initiative. In 1995, the H.W. Wilson Foundation awarded ARL funding to develop an educational initiative on copyright compliance. The proposal includes funding to sponsor a series of workshops for librarians who have a training or spokesperson role in copyright compliance. The first workshop was held in the Fall of 1995. Three additional workshops are scheduled for 1996. Two are planned for a U. S. audience and a third is targeted for Canadians.

For the U.S. audience, "Copyright and Libraries: A Leadership Workshop" will be held in Washington, DC (April 26-27) and in Seattle, WA (September 19-20). The needs of institutions governed by Canadian copyright law will be addressed in

"Copyright in Canada," to be held in Ottawa, Ontario (October 3-4). ARL collaborated with the Canadian Association of Research Libraries (CARL) in the design of the workshop; it is co-sponsored by ARL, CARL, and the Association of Universities and Colleges of Canada.

MDS Decision and Fair Use. ARL closely monitored reaction to a fair use decision passed down by the Sixth Circuit Court of Appeals on February 12. The court held that an off-campus, for-profit photocopy shop may, as a matter of fair use, make coursepacks that include substantial portions of copyright-protected books and sell them to students (Princeton University Press v. Michigan Document Services, Inc.). ARL joined with law professors in filing an amicus brief in this case that made an argument for the Constitutional basis of copyright. An assessment of this recent ruling was prepared for ARL by Kenneth D. Crews, Associate Professor of Law and of Library and Information Science at Indiana University-Purdue University Indianapolis. The Crews analysis "The MDS Decision and Fair Use for Coursepacks," was distributed to the ARL directors and posted to the ARL Server. Susan Kornfield, the attorney representing MDS, will speak to ARL members about the case at the May 1996 membership meeting.

Copyright Publications. In May ARL published *Copyright and the NII: Resources for the Library and Education Community*. This briefing packet was designed to assist libraries and educators to understand and become aware of the current copyright legislative reform and to encourage involvement in the debate. To date, over 800 copies have been distributed. Segments of the publication are also available on the ARL Server.

In preparation for the ARL Copyright Workshop in Seattle, ARL staff prepared *A Copyright Handbook: An ARL Compilation of Key Resources for Librarians*. This publication contains a range of materials designed to acquaint librarians with copyright and its application in the library. This publication will be revised in the fall of 1996 and made available for sale at that time.

A draft pamphlet on licensing electronic resources has been prepared and is available for review. It outlines strategic and practical considerations one should take before signing electronic resource agreements or contracts. Karen Hersey, Intellectual Property Counsel, MIT, assisted ARL in the preparation of this document.

The *ARL Focus Flier on Copyright* has been available since 1994 and is continuously updated. Most recently, it was distributed at the ARL copyright workshop in Seattle and at the IFLA conference in Beijing. It was also available at a Copyright Conferences held at the University of Tennessee in September, and in Bangkok in October.

Copyright materials are continuously being added to the ARL website and links are also in place to other relevant copyright and intellectual property sites.

1.3.1 Working Group on Copyright Issues

At the request of the ARL Board of Directors, the Working Group on Copyright Issues was asked to continue to coordinate ARL activities on intellectual property and copyright issues. The Committee is comprised of members from four standing committees of the Association and the Executive Committee. Members of the Group serve as liaisons to their respective Committees on these issues.

Members:	Scott Bennett	(Scholarly Communication, AAU/ARL IP Task Force)
	Betty Bengtson	(Board, AAU/ARL Steering)
	Nancy Cline	(Board)
	Ken Frazier	(Information Policies)
	Ernie Ingles	(Information Policies)
	Paula Kaufman	(Information Policies)
	Peter Lyman	(At Large, AAU/ARL Steering)
	Susan Nutter	(At Large, AAU/ARL Steering)
	Martin Runkle	(Preservation)
	George Shipman	(Access)
	Elaine Sloan	(Scholarly Communication, AAU/ARL Steering)
	Robert Wedgeworth	(Information Policies, AAU/ARL Steering)
	Jim Neal, Chair	(Board, Information Policies)

Staff Liaison: Duane Webster

Staff Resources:
Prue Adler
Mary Jackson
Patricia Brennan

1.4 AAU/ARL Action Agenda

Three related, but distinct, initiatives were addressed during 1995: (1) an initiative to promote electronic scholarly publishing; (2) discussions concerning the desirability of a comprehensive university license for the reproduction of copyrighted materials; and (3) a program to build a distributed collection of global research resources to ensure North American access to foreign publications.

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In April and October 1995, the AAU presidents and chancellors were briefed on these initiatives, as well as on the AAU/ARL Steering Committee recommendations for the initiatives' further development. These projects and the Steering Committee's deliberations were also reviewed and discussed by ARL directors during the two ARL membership meetings this year. The outcome of the 1995 discussions was agreement to move forward on developing the concept of an electronic scholarly publishing initiative and on the development of a global resources plan. On the subject of a university license for reproduction of copyrighted materials, there was agreement that the terms of reference and preconditions for such discussions needed further definition.

AAU/ARL Steering Committee Activities
On April 15, 1996, the AAU/ARL Steering Committee met to review updated documents prepared during the winter and spring by the AAU/ARL Intellectual Property Task Force and by the ARL Research Collections Committee. At this meeting, the Steering Committee made the following decisions:

(1) To revisit the type of AAU/ARL collective action that is needed to promote electronic scholarly publishing, and to consider doing so in the context of parallel discussions underway in AAU about network capacity. In addition, there was a preliminary discussion of a consortial structure to provide a new stable base of support for electronic scholarly publishing.
(2) It is premature to enter into formal communications with the CCC on university licensing, but informal discussions with AAUP on inter-institutional licenses may be instructive.
(3) To endorse in principle the proposal for a Global Resources Program.

The following review presents the status of the major topics emerging from the Steering Committee discussion.

Electronic Scholarly Publishing. In the spring of 1995, the AAU/ARL Steering Committee reconstituted an Intellectual Property Task Force (see 1.4.2 for membership) to carry on the agenda defined by the initial AAU project work. A key agenda item directed to the new Task Force was to define an entrepreneurial venture in electronic publishing responsive to the needs and interests of the academic and scholarly community. The Task Force's response was to draft a "call for proposals" for an Electronic Scholarly Publishing (ESP) Program that advocates a cooperative action by AAU and ARL institutions to fund, monitor, and disseminate findings from innovative scholarly publications projects that are intended to test both the (1) ability of new forms of electronic communications and information distribution to help universities better manage their intellectual property and lower the costs and prices for scholarly journals and related publications, and (2) the willingness and ability of academic research universities to work together on such a concept. The concept was tested successfully with the Steering Committee last fall and, during the winter, the IP-TF developed criteria for successful proposals and outlined an implementation plan.

At the April 1996 meeting of the Steering Committee, there was agreement that the ESP proposal described very well the kinds of activities that AAU and ARL institutions should pursue to promote electronic scholarly publishing. Given the number of such projects that are already underway, however, the Steering Committee concluded that a call for more proposals for discreet projects was not the kind of collective action that they were seeking. The discussion confirmed that collective action on the part of AAU and ARL institutions would be supported, but only if it could be shown to advance and complement, rather than replicate or compete with, other initiatives already underway (e.g., Project Muse, HighWire Press, JSTOR, etc.).

The Steering Committee discussed revisiting a definition of collective action for electronic scholarly publishing in the context of other discussions underway within AAU about higher education's need for expanded network capacity. The AAU Committee on Information Technology has proposed a discussion for AAU presidents and chancellors next October to address the shortcomings of the Internet status quo and to discuss a proposal for collective action to establish a new network to serve better the needs of higher education. The similarity of the two agendas was noted; discussions between the two groups will take place over the summer to coordinate next steps. In addition, the Steering Committee discussed possible collective actions that would enable innovation and contain the costs of scholarly communication. There was a preliminary discussion of a consortial structure to provide a stable base of support for electronic scholarly publishing.

University Blanket Licensing. The AAU/ARL Intellectual Property Task Force updated its report to the Steering Committee about the nature and extent of the need for universities to pursue negotiations with the Copyright Clearance Center for blanket licensing of copyrighted materials. The IP-TF report concluded that the greatest need was in the area of licensing for electronic resources and proposed a formal communication to CCC asking if that agency was in a position to discuss this dimension of the issue. The IP-TF report also proposed an educational effort within universities about copyright, particularly as it impacts digital works, and the beginning of discussions on blanket licensing arrangements within the AAU/ARL university community (for example, inter-institutional licenses might be discussed with members of the American Association of University Presses). The Steering Committee concluded it was premature to formalize discussions with the CCC, but agreed that informal discussions within the academic community, including with university presses, could be instructive.

The Global Resources Program. The Steering Committee received a draft report prepared by the ARL Research Collections Committee (*Tactical Plan for the AAU/ARL Global Resources Program*) and a proposal for a process of consultation with chief academic officers and scholarly/area studies societies to secure agreement on both the Global Resources Plan and on the financial strategy for pursuing it. The tactical plan outlines the vision of a network-based, distributed collection of global information resources for North American teaching and research, as well as the benefits it will provide in improved access to global resources. The plan recommends a way to expand the demonstration projects by discipline, geography, and types of materials, and a way to engage larger numbers of university constituencies in discussions around this set of issues.

On April 15, the Steering Committee endorsed the proposal in principle, including the consultation process and a commitment to recommend that AAU presidents and chancellors provide some level of funding for implementation of the Global Resources Program. In May, the ARL Research Collections Committee will discuss implementation of the consultation process and the ARL Membership will discuss the plan during the Business Meeting.

AAU/ARL Global Resources Demonstration Projects: Status Report
A key goal of the AAU/ARL common action agenda is to improve access to and delivery of international research resources. Implementation efforts of a network-based, distributed program for the coordinated development of foreign acquisitions continue. During the initial phase, three demonstration projects target research materials that originate in Latin America, Japan, and Germany. The ARL Research Collections Committee provides overall guidance for these projects. Jutta Reed-Scott is primary staff liaison.

Tactical Plan for Scaling Up the Demonstration Projects. The AAU/ARL Research Libraries Project Steering Committee at its October 15, 1995 meeting urged ARL to develop strategies for scaling up the three demonstration projects and for overcoming existing barriers. The Research Collections Committee at its October 18 meeting outlined a tactical plan for moving to a larger, comprehensive program. The Committee identified six actions that should be taken to meet this mandate. Sustaining the momentum of the three demonstration projects and scaling up to a comprehensive program will require many organizations and North American research libraries with strong global holdings to work in concert and build strong links with the scholarly community. To move forward with more comprehensive efforts, the Committee recommended the following immediate steps:

1. The creation of a Global Resources Program with a federated management structure and hosted by ARL in cooperation with AAU.
2. The appointment of a full-time coordinator for an initial three-year term with responsibilities for continued development, growth and improvement of the Program.
3. The design of an educational effort to inform campus faculty about the Global Resources Program and to build consensus on the proposed strategies for addressing needs for global resources.
4. Working with the research library community to strengthen and advance area librarianship.
5. Adoption of a proposal for a strategic investment of $300,000 by AAU and ARL institutions to fund program start-up and operation in 1996-1998.
6. The establishment of an advisory committee made up of chief academic officers from AAU and ARL institutions to guide the development of the program.

The Committee's Tactical Plan was distributed to ARL directors in April and a discussion is on the agenda of the Business Meeting, May 17.

Latin Americanist Research Resources Pilot Project
Overview. The aim of this project is to make available a broader array of resources to Latin American students and scholars, to restructure access to these collections on a comprehensive scale, and to assist research libraries in containing costs. The start-up project funding was received from The Andrew W. Mellon Foundation and thirty-two participating ARL libraries. In October 1995, The Andrew W. Mellon Foundation awarded ARL a $125,000 grant for the second phase of the project. Mark Grover, Latin American Studies Bibliographer at Brigham Young University Library, holds the position of Project Coordinator for the Latin Americanist Resources Pilot Project. An Advisory Committee oversees the project's implementation. The Advisory Committee is chaired by Deborah Jakubs, Head, International and Area Studies, Perkins Library, Duke University.

Project Activity. The initial phase of the project is a cooperative library effort focusing on three categories of Argentine and Mexican scholarly resources: serials, government documents, and the publications of non-governmental organizations (NGO's).

Significant progress has been accomplished in all three arenas. An easily accessible Internet database hosted by the University of Texas' Latin American Networked Information Center (UT-LANIC) offers access to the tables of contents of 300 academic journals from Argentina and Mexico. A pilot interlibrary loan feature is now operational. This will streamline the process of obtaining specific articles that are included in the Project's table of contents database. For the past three months, staff at UT-LANIC and OCLC have worked together to develop the new ILL service. The ILL enhancement allows users searching the UT-LANIC database to submit an online ILL request for any of the articles in the database to be sent to their home institutions' PRISM ILL Review File. All 32 ARL libraries participating in the AAU/ARL Latin Americanist Resources Project are automatically included in this new service.

To implement the new ILL feature, UT-LANIC restructured the table of contents database. The Project Coordinator is working with staff at UT-LANIC to transfer table of contents information from the previous text database to the new structured database. At present, only recently received journal titles are available for the new ILL ordering service. The transfer is scheduled to be completed in late spring. The URL for the pilot ILL service is: <http://lanic.utexas.edu/project/arl/arl.html>.

The key strategy for improving access to Latin American government documents is utilizing electronic technology. The Advisory Committee selected presidential messages from Argentina and Mexico for the initial digitization effort. The Library of Congress is making available most of the volumes, with Brigham Young, Harvard University and Yale University providing additional volumes. In December, ARL awarded Preservation Resources the contract for digitally scanning and indexing these presidential messages. The materials were filmed prior to scanning. The scanning began in March 1996 and is expected to conclude in June 1996. The scanned images will be available on UT-LANIC at the University of Texas.

The participating libraries have also assumed collecting responsibilities for publications of major non-governmental organizations, research institutes, and other non-commercial producers of research reports and discussion papers in Mexico and Argentina.

During the next phase of the project (November 1995–December 1996), the implementation of the three-part phase now underway will be completed. Mark Grover will continue as Project Coordinator on a half-time basis. Since the project has only recently become "fully operational," we have not yet collected the data necessary for a solid evaluation. This analysis of project costs and benefits will be completed during the coming year. The project's current activities and structure will also be refined and the distributed collecting assignments will be extended and explanded. In March, a questionnaire was sent to the Latin American bibliographers at the participating libraries seeking their feedback and advice on project activities.

A complementary activity is the institutional studies undertaken by five libraries participating in the project. The studies are investigating ways to lower document delivery costs and to increase access to the universe of Latin American research materials by selecting, creating and distributing electronic versions of research materials.

Next Steps. The Advisory Committee has outlined four distinct strategies for scaling up the Project. These are:

- expanding the Mexican and Argentine table of contents database on UT-LANIC, and streamlining the article request process through the interlibrary loan link;
- expanding coverage beyond Argentina and Mexico to other Latin American countries, with Brazil and Peru as the immediate priorities;
- exploring a two-pronged approach to employ advanced communication technologies to share and supply digital source materials—one predicated on networked access to electronic resources created in Latin America, and the other predicated on digitizing print resources under the auspices of the project; and
- building partnerships with Latin American institutions.

German Demonstration Project

Overview. The primary goals of the German Demonstration Project are (1) to assure effective and timely access to and delivery of German language research materials through electronic resource sharing and improved interlibrary document delivery services; and (2) to test linking between North American and German libraries to expand access to specialized research resources. This is a cooperative library effort among United States, Canadian, and German research institutions with strong German library collections and demonstrated institutional commitment to research in German political science and history. The Library of Congress, under the umbrella of ARL and AAU, is providing organizational support for this project.

The project will focus on four specific activities:

1. We will cooperate with the Deutsche Bibliothek and German government agencies in locating or encouraging the development of digital versions of federal government documents.
2. We will collaborate with German research libraries to test network access to regional government documents.
3. We will develop complementary systems for cataloging.
4. We will identify serials published in Germany that are critical for furthering scholarship, but are not widely held in North America, and devise effective document delivery strategies.

Project Activity. For the past year, the Working Group for the German Demonstration Project, chaired by Winston Tabb, has developed work plans for this demonstration project. The initial planning phase concluded in fall 1995. In November 1995, Duane E. Webster sent out an e-announcement inviting participation by ARL libraries in this project. Follow-up letters were mailed out in March 1996. ARL is now launching this AAU/ARL Demonstration Project.

As a first step, the Library of Congress has made special arrangements to allow libraries in the Project to have access to the cataloging records prepared by the Deutsche Bibliothek through the files mounted at the Library of Congress. Access to these records will be available to libraries on a subscription basis via Z39.50.

Next Steps. The highest priority is to test linking between ARL and German research libraries in order to expand access to specialized research resources. Preliminary discussions with library leaders in Germany have identified commitment to pursue electronic resource sharing. We plan to cooperate with the Deutsche Bibliothek and German government agencies in locating or encouraging development of digital versions of federal government documents. As the next step, we will determine the availability of selected government documents from Germany in digitized form and work with colleagues in Germany on expanding the list of publications that are available electronically. The Working Group will consult with staff at the participating libraries concerning categories of documents for which electronic access will be particularly important. Additional and more specific requests will be invited from both librarians and scholars as the project unfolds.

Although funding for a project coordinator has not yet been obtained, we are guardedly optimistic that we will obtain funding from a German foundation.

Japan Journal Access Project

Overview. Those readers who have followed the Japanese Scientific and Technical Information Project will note a change in title, which denotes a change in focus for the Project. Although there is a continuing need to improve access to Japanese scientific and technical information for North American users, there is also a need to improve access to Japanese journal literature across all disciplines. In response to the AAU/ARL Steering Committee's urging that the foreign acquisitions projects be "scaled up" immediately, the Project was redefined to include access to all Japanese journal literature—not just sci-tech. The interest and support of the National Coordinating Committee on Japanese Library Resources was also instrumental in broadening the Project's scope.

Project Activity. During February 4-10, Don Simpson, President of the Center for Research Libraries and Project Manager, and Dorothy Gregor, Project Coordinator, traveled to Tokyo at the invitation of NACSIS (National Center for Science Information Systems). The focus of the trip was access to Japanese journal literature, both bibliographic and interlibrary loan/document delivery/e-text access. The trip included meetings with NACSIS staff, with staff of the National Diet Library, and with the JS-Net Study Group. NACSIS is a government-supported bibliographic utility that provides cataloging, interlibrary lending and reference services for Japanese university libraries. Many of the NACSIS databases are of interest to North American researchers and students. The JS-Net Study Group was organized by the Japan Foundation as a fact-finding body to find ways of coordinating various efforts among institutions and organizations that could or do provide information for overseas researchers and librarians. The Study Group's goal is to recommend new Internet- and World Wide We- based services that would be responsive to the information needs of those studying Japan outside of Japan.

OSU's East Asian Libraries Cooperative World Wide Web site continues to serve as a focal point for the Project; users will note the addition of several useful links for those interested in journal literature, including a site for a new translation service <http://pears.lib.ohio-state.edu>.

Next Steps. The February meetings suggested several potential projects that would extend the availability of Japanese resources and identified groups and individuals with whom the AAU/ARL Project can work.

1.4.1 AAU/ARL Research Libraries Steering Committee

The AAU/ARL Research Libraries Steering Committee plays an active role in the integration of the separate initiatives and their ramifications for the way universities conduct their business. Even if a greater proportion of scholarly communications come under university control, universities may find it useful to develop new contractual arrangements with components of the commercial sector—thus, the importance of the discussions on licensing. To the extent that electronic publishing permits greater inter-institutional cooperation, the cooperative, networked collections management arrangements developed by the Global Research Resources program can serve as prototypes for broader resource sharing. The impact of these new arrangements will likely affect how universities recognize and reward scholarship through tenure and promotion criteria and other institutional actions.

The AAU/ARL Steering Committee will meet during the next AAU meeting scheduled for October 20-22 in Los Angeles.

Members:	AAU	Myles Brand, Indiana, Co-chair Donald Langenburg, Maryland Robert McPherson, Michigan State Robert Pritchard, Toronto Harold Shapiro, Princeton
	ARL	Jerry Campbell, Southern California, Co-chair Betty Bengtson, Washington Susan Nutter, North Carolina State Elaine Sloan, Columbia Robert Wedgworth, Illinois
Staff Liaisons:		John Vaughn, AAU Duane Webster, ARL

1.4.2 AAU/ARL Intellectual Property Task Force

The Steering Committee reconstituted an Intellectual Property Task Force to pursue the AAU/ARL action agenda on intellectual property. A subgroup of the Task Force met in January 1996. The Task Force met in March 1996.

Members:

Peter Nathan, Iowa, Co-chair
Ann Okerson, Yale, Co-chair
Scott Bennett, Yale
Colin Day, University of Michigan Press
Laura Gasaway, North Carolina
Jane Ginsburg, Columbia
Georgia Harper, University of Texas System
Kent Hendrickson, Nebraska
James O'Donnell, Pennsylvania
Bernard Rous, ACM
Pamela Samuelson, Pittsburgh
Robert Shirell, University of Chicago Press
Dieter Soll, Yale
Hal Varian, California-Berkeley

Members:
John Vaughn, AAU, ex-officio
Duane Webster, ARL, ex-officio
Karen Hersey, MIT, consultant
Lynn Brindley, London, consultant
Charles Oppenheim, Strathclyde, consultant

Section 2 Access and Technology

2.1 Access to Information Resources

Summary of Activities
(See also Sections 2.2 Coalition for Networked Information and 2.3 HEIRAlliance)

NAILDD Project. A centerpiece of the ARL Access capability is the North American Interlibrary Loan and Document Delivery (NAILDD) Project. Established in 1993, the NAILDD Project promotes developments to maximize access to research resources while minimizing the costs associated with such activities. The operating philosophy is to seek practical technical developments that enable libraries to redesign their ILL/DD services for a networked environment. The strategy is to seek actions on the part of private sector developers that will respond to the priority needs of the library community.

Collaboration with the Private Sector: the DIG. The Developers/Implementors Group (DIG) seeks to accelerate collaboration between libraries and a broad constituency of private sector players to advance the NAILDD Project's priority technical developments. Now representing 50 organizations, the DIG continues to serve as a source of information and a forum for the major players in ILL/DD services. In response to requests from commercial members of the DIG, a special effort is underway to recruit to the DIG representatives of a broad range of library types.

The full DIG convened in January 1996, as did the Director's Forum on Managing ILL/DD Operations. Held on the Friday morning of ALA conferences, the Forum features informal presentations from DIG members and discussions about new products and services. A report describing the January 1996 NAILDD Project meetings is available on the ARL gopher; the next series of meetings will begin July 5, in New York City.

Highlights recently reported by DIG members include:

- A large number of DIG members prepared to participate in the IPIG (see below);
- OCLC's successful testing of a link between UT-LANIC and Prism ILL (see below);
- TKM's introduction to the U.S. market of InterLend, an ILL management software developed for Canadian libraries, and
- FedEx's expansion of the agreement for discounted prices for libraries.

IPIG. The ILL Protocol Implementors Group (IPIG) was formed as a subset of the DIG to facilitate the use of the international ILL standard (ISO 10160 & 10161) by U.S. vendors and service providers. On November 1, 1995, an invitational meeting was held in Portland, Oregon. Participants agreed to a two-phased implementation strategy. The first phase is to implement the portion of the Protocol that permits an ILL request to be passed from one system to another (for example, from Innovative Interfaces, Inc. into OCLC Prism ILL). The longer term goal is to implement the complete functionality of the Protocol.

Following the November 1st meeting, a formal call for participation in the Protocol testbed was issued; 17 organizations have agreed to participate in Phase 1. The IPIG met again in February in Washington, DC and set Summer 1996 as the date for final testing and implementation of Phase 1. The National Library of Canada provides technical support for the implementation; North Carolina State University/TRLN hosts an IPIG list-serv that has been very active as a communication device among implementors.

AAU/ARL Demonstration Projects for Global Research Resources. The Access capability and the NAILDD Project advise on access and delivery issues that emerge in the AAU/ARL foreign publications demonstration projects. Since last fall, this included, with support from OCLC, developing a standards-based approach to streamline user-initiated ILL requests and services from the database for the Latin Americanist Project.

The University of Texas Latin American Network Information Center (UT-LANIC) hosts the electronic database of tables of contents of 300 academic and research periodicals from Argentina and Mexico. In order to facilitate user-generated electronic ordering of articles highlighted in the UT-LANIC database, OCLC agreed to participate in a pilot project to build a link between UT-LANIC and Prism ILL.

ILL/DD Performance Measures Study. The Andrew W. Mellon Foundation awarded ARL a grant to measure the performance of interlibrary loan and document delivery services in research and academic libraries. The two-year study, undertaken in collaboration with the Council on Library Resources (CLR), will build on the earlier ARL/RLG ILL cost study by measuring fill rate, turnaround time, and user satisfaction as well as costs.

Phase One began last fall with site visits to six libraries that reported high or low costs from the original cost study. The goal was to identify any characteristics that may contribute to their costs. Phase Two will collect data from both research and academic libraries. The Greater Midwest Research Library Consortium agreed to test the revised instrument during the spring of 1996; a planning meeting with GMRLC was held April 19-20. This summer, research and academic libraries will be invited to collect data on the several measures. A list of data elements to be collected is posted on the ARL Gopher. ILL librarians are encouraged to review the list and begin planning how the data will be collected locally.

Reconceptualize ILL/DD Training Institutes. To complement the introduction of new technical developments, NAILDD pursues two kinds of training institutes that assist libraries in reconceptualizing their ILL/DD operations: a "redesigning" institute for library teams and a "rethinking" institute for individual librarians. Teams from nearly 50 libraries have participated in five Redesigning Institutes since early 1994. The next two Redesigning Institutes are planned for the fall of 1996; tentatively to be held in Boston and in Arizona.

A one-day Rethinking ILL/DD Institute, designed for individuals rather than institutional teams, took place in Stockholm in April 1996; over 50 individuals from libraries in Sweden participated.

Other NAILDD activities

FedEx: Establishment of an agreement with Federal Express for two-day shipments of ILL materials for ARL member libraries, and establishment of a partnership with the Urban Libraries Council to offer the same service to their member libraries. Nearly 30 members are now shipping and receiving ILL materials via the two-day delivery. FedEx has extended the discounted rates to all types of libraries. AMIGOS was the first new group of libraries to enter into this expanded agreement.

Characteristics of ILL Requests: A study of the characteristics of ILL transactions (what kind of materials are being requested) using data from the OCLC ILL messaging system.

Electronic Reserve Services: The transformation of reserve room functions was promoted through an analysis of characteristics of the materials put on reserve in libraries (a report on the findings will be issued in 1996), and development of draft guidelines for managing copyrighted materials in electronic reserves (see below).

Copyright. The Access capability also contributes to ARL's initiatives associated with copyright and intellectual property. Since the fall of 1995, this has included:

- participation in the monthly Conference on Fair Use (CONFU) to develop guidelines for ILL/DD, electronic reserves in the NII; and
- organization of two Copyright Awareness Leadership Workshops for the U.S. in April and September 1996, and one for Canadian institutions in October 1996 (see Section 1.3, Intellectual Property and Copyright Issues, for a fuller description).

Economics of Information Conference: Challenging Marketplace Solutions. ARL collaborated with the SUNY University Center Libraries, the Council on Library Resources, the National Association of State Universities and Land Grant Colleges, and the Coalition for Networked Information to conduct a national conference on issues related to the development of the knowledge infrastructure and the consequent economic impact on higher education. Over 200 people from a range of positions within universities, societies, and publishing attended the two-day conference. Conference proceedings, edited by Meredith Butler and Bruce Kingma, SUNY-Albany, will be published by ARL in 1996.

2.1.1 Committee on Access to Information Resources

The ARL Committee on Access to Information Resources is established to help the Association make access to research information resources more effective. In order to maintain and improve access to research information resources, ARL will undertake activities to strengthen bibliographic, abstracting, and indexing tools; user access; and physical and electronic access to information.

This Committee is charged to monitor developments, determine critical issues requiring ARL attention, inform members, and design strategic responses to influence the access to research information resources. The Committee also advises and guides the ARL staff on matters regarding the plans and strategies of the ARL Access and Technology program capability.

The current Committee focuses on an agenda in support of resource sharing in an electronic environment. Issues identified as key to this agenda are the reconceptualization of ILL in an electronic environment and the articulation of the principles and values that support resource sharing among research libraries. A working plan was developed around the issues identified in the white paper *Maximizing Access, Minimizing Costs*, which critiqued the current ILL system and outlined the elements of an "ideal" system. Building on ARL and ALA discussions about the white paper, the Access Committee adopted a three-point priority agenda aimed at bringing about short-term improvements to ILL/DD systems and operations, including a comprehensive management software, a financial management system, and establishment of interconnectivity and linkages among different systems. The North American ILL/DD (NAILDD) Project was launched to promote these priority developments.

1996 Agenda of Issues:

- Promote and support NAILDD to advance priority developments
- Monitor the Network Information Resources and Discovery initiative underway within the Coalition for Networked Information
- Contribute to AAU-ARL initiatives that demonstrate and evaluate the concept of a distributed, multi-institutional research library collection that is linked together and made accessible to users via networked services

Members:	Pamela André	(1995-1997)
	Meredith Butler	(1994-1996)
	Ellen Hoffman	(1996-1998)
	C. Lee Jones	(1994-1996)
	Paul Mosher	(1996-1998)
	Michael Ridley	(1996-1998)
	Marianne Scott	(1995-1997)
	George Shipman	(1995-1997)
	GladysAnn Wells	(1996-1998)
	Karin Wittenborg	(1994-1996)
	Shirley Baker, Chair	(1995-1996)
	Sarah Thomas, Library of Congress Liaison	
	Mary Jackson, Consultant on Access & Delivery Services	

Staff Liaison: Jaia Barrett

2.1.2 Work Group on Scientific and Technical Information

The Work Group was formed in 1991 to follow up the 1991 report of the ARL Task Force on a National Plan for Science and Technology Information Needs. The Work Group monitors STI developments and functions as an advisor to the Board in order to help shape ARL activities in this area.

Status as of April 1996:
The Group met twice at the October 1995 ARL Membership Meeting. First, the Work Group participated in a conversation with the ARL Board and Paul Uhlir, National Research Council, concerning two NRC studies: a recently concluded one on preserving scientific data, and a new study of issues associated with the transborder flow of scientific data. The Work Group also met to discuss developments at the National Agricultural Library, CISTI, and Linda Hall.

Work Group meetings are planned in conjunction with the ARL Membership Meetings, supplemented with occasional e-list communications. The group functions as an informal communications and response network.

Members:
Pamela Andre
Betty G. Bengtson
Joe Boisse
C. Lee Jones
Margot Montgomery
Susan K. Nutter
James Wyatt
Marilyn J. Sharrow, Chair

Staff Liaison: Jaia Barrett

2.2 Coalition for Networked Information

Program Overview, July 1, 1995 through June 30, 1996

Background
The Coalition for Networked Information was founded in March 1990 to help realize the promise of high performance networks and computers for the advancement of scholarship and the enrichment of intellectual productivity. The Coalition is a partnership of the Association of Research Libraries (ARL), CAUSE, and Educom.

The Coalition accomplishes its objectives by: focusing on key enablers and obstacles, providing assistance to, promoting communication among, and fostering partnerships with Coalition members; synthesizing progress being made on key initiatives, capturing the experience of Coalition members, and others, in a coherent, actionable manner; and disseminating lessons learned by those initiatives, amplifying the experience of Coalition members by informing the efforts of others.

The Coalition pursues its mission with the assistance of a task force of over two hundred institutions and organizations that provides focus and resources which are crucial to the ability of the Coalition to articulate and explore shared visions of how information management must change in the 1990s to meet the social and economic opportunities and challenges of the 21st century. Members of the Coalition Task Force include higher education institutions, publishers, network service providers, computer hardware, software, and systems companies, library networks and organizations, and public and state libraries.

Initiatives

- **Economic studies and models**
  - Produce a white paper on cost centers and measures in the networked information value-chain, and formulate next steps in that area.
  - Start up an effort to explore the role of mediation and arbitration as conflict resolution strategies in the marketplace for networked intellectual property.

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- **Navigation and interoperability**
  - Produce a white paper on networked information discovery and retrieval, and formulate next steps.
  - Support the Z39.50v3 Test Bed, and related Z39.50 development and implementation priorities and activities.

- **Institutional networked information readiness, policies, and strategies**
  - Expand the "University Presses in the Networked Information Environment" joint initiative with the Association of American University Presses
  - Hold two "Working Together" retreats that help encourage the building of collaborative, networked information projects within institutions.
  - Update the information policy compilation.
  - Take the first steps in developing a program to assist administrators of navigational systems and services with keeping abreast of relevant issues and tools.
  - Start up an effort to explore institutional policies addressing rights and responsibilities in the networked environment, and measures for enforcing them.

- **Transformation of Research and Education**
  - Assist the start-up of the American Arts and Letters Network, facilitating access to existing networked resources and services and communication among developers an users in the networked, international arts, humanities, and culture communities.
  - Hold the second "new learning communities" workshop, and produce a workbook to guide regional or campus versions of this experience.
  - Support the AAU/ARL scientific and technological information management activities.
  - Support the Educom National Learning Infrastructure Initiative (NLII).

- **Public Policies and Agencies**
  - Expand the "National Initiative for a Networked Cultural Heritage (NINCH)" joint initiative with the American Council of Learned Societies and the Getty Art History Information Program.
  - Promote the development of the Federal Government Information Locator Service (GILS) effort.
  - Produce a white paper on service issues and strategies in a networked public information environment, promote collaborative strategies for gaining access to such information, and formulate next steps in these areas.
  - Support ARL and Educom intellectual property strategies and activities.

Capabilities

- Hold the Fall 1995 Task Force meeting in conjunction with the Educom Annual Meeting, and the Spring 1995 Task Force meeting in the Washington, D.C. area.
- Hold two or more regional conferences with CAUSE.
- Contribute to ARL, CAUSE, EDUCOM, and other publications, and speak on the Coalition and on networked information resources and services to a wide range of audiences.
- Increase the capabilities of the Coalition's Internet server in order to make additional resources available and to make non-textual materials available, and improve the security of the server's resources and services.

For further information, contact Joan K. Lippincott, Assistant Executive Director <joan@cni.org>.

2.2.1 Steering Committee for the Coalition for Networked Information

As part of the governance structure of the Coalition for Networked Information, each of the three founding organizations (ARL, CAUSE, EDUCOM) has three seats on the CNI Steering Committee. ARL representatives to the Committee have been given staggered terms in order to achieve consistency with other ARL Committee assignments. The members of the committee meet with the ARL Board to review communication and advisory processes between ARL and CNI.

Status as of April 1996:
The ARL Board meets regularly with Paul Peters, CNI Executive Director, to discuss the Coalition's program priorities. On each occasion, the Board recognized the extraordinary success of the CNI program and the importance of the Coalition for institutions of higher education. In February 1996, the Board endorsed another three-year term for the Coalition and asked for a meeting with ARL's representatives to the CNI Steering Committee to review CNI program priorities.

Meetings Planned for 1996:
The Coalition Steering Committee meets in conjunction with CNI.

Members:	David Bishop	(1995-1998)
	Sheila Creth	(1994-1997)
	Sharon Hogan	(1996-1999)

Staff Liaison: Duane Webster

2.3 HEIRAlliance

In May 1991, the ARL Board received an invitation from CAUSE and EDUCOM to form an alliance to identify cooperative ventures in information resources management. The Higher Education Information Resources Alliance (HEIRAlliance) was approved in concept by all three boards as a device to further project-based cooperation.

The Board approved an initial phase of *The HEIRAlliance Report*, covering information technology and information resources targeted at chief executives and academic officers in the 3,000 academic institutions in the U.S. and Canada.

The initial product of this alliance is a series of four-page briefing papers called "What Presidents Need to Know." The reports are the work of teams that consist of library directors, heads of information technology, and presidents.

Status as of April 1996:
In late 1995, one briefing paper in the series was prepared and distributed, HEIRAlliance Executive Strategies Report #6, *What Presidents Need to Know ... about Evaluating Institutional Information Resources*. Accompanying the report is a six-page brochure, *Evaluation Guidelines for Institutional Information Resources*.

The full series of HEIRAlliance reports is available through the CAUSE office in Boulder, Colorado, or through the ARL or CAUSE gophers.

Agenda of Issues:
Two reports are anticipated in 1996. The topic for the next report has been discussed but not determined. Options considered are: transforming higher education, intellectual property, economics of information, cost centers and measures, digital library innovations, and licensing (READI project).

Staff Liaison: Duane Webster

Section 3 Collection and Preservation

3.1 Collection Services

This capability addresses the broad issues facing research libraries in the areas of collection management and preservation. The work of two ARL committees is covered by this capability: Research Collections and Preservation of Research Library Materials.

ARL's collection development efforts are directed toward the program objective of supporting member libraries efforts to develop and maintain research collections, both individually and in the aggregate. Strategies to accomplish the objective include: efforts toward improving the structures and processes needed for effective cooperative collection development programs; promotion of needed government and foundation support for collections of national importance in the United States and Canada; provision of collection management consulting through the Collection Analysis Program; and development and operation of collection management training programs.

ARL's preservation efforts support the strategic program objective of promoting and coordinating member libraries programs to preserve their collections. Strategies in pursuit of this objective include: advocacy for strengthening and encouraging broad-based participation in national preservation efforts in the U.S. and Canada; support for development of preservation programs within member libraries; support for effective bibliographic control of preservation-related records; strengthening copyright legislation to support preservation activities in the electronic environment; encouragement for development of preservation information resources; and monitoring technological developments that may have an impact on preservation goals.

Summary of Activities
Many of the activities related to this capability are closely connected to other program capabilities or supported by grants, and therefore, several projects are described in other sections. (See especially Section 1.4: AAU-ARL Action Agenda, and Section 7: Research and Development.)

3.1.1 ARL Committee on Research Collections

In December, the Foreign Acquisitions Project was completed and, in March, ARL published *Scholarship, Research Libraries, and Global Publishing*. The report documents the fragile state of global resources collections within North American research libraries. The Research Collections Committee provided oversight for this four-year study of trends in global resources, funded by The Andrew W. Mellon Foundation. This study contributed to and benefited from the separate but closely linked work of the Association of American Universities' (AAU) Acquisition and Distribution of Foreign Language and Area Studies Materials Task Force. Building on the work of the AAU Task Force, ARL, in partnership with AAU, has launched three demonstration projects to test the viability of implementing a distributed, networked, coordinated collection management program for global research materials. The Committee is providing oversight for the implementation of the three demonstration projects focused on German language, Latin American, and Japanese science and technology acquisitions.

ARL's Research Collections Committee has also charted the directions of a larger program in the *Strategic Plan for Improving Access to Global Information Resources in U.S. and Canadian Research Libraries*. The goals outlined in the *Plan* aim to restore the range of significant foreign publications to the North American collections of books, serials, and other forms of scholarly information adequate for the support of research, teaching, and scholarship. As envisioned in this strategic plan, the three AAU/ARL demonstration projects will serve as the start-up phase. They will provide experience in planning for the medium-term phase that will focus on enhancing the distributed North American collection of global resources. The long-term goal would be to move toward a worldwide effort.

The AAU/ARL Research Libraries Project Steering Committee recommended at its April 1995 meeting the development of plans for scaling up the three demonstration projects. The Research Collections Committee members prepared a report on plans and options for scaling up the AAU/ARL demonstration projects. The initial draft was discussed at the AAU/ARL Research Libraries Steering Committee's October 15, 1995 meeting. The Steering Committee agreed with the need to evaluate progress and experience of the three demonstration projects to address the issues raised in the report. They urged, however, that this be pursued simultaneously with expansion to a larger, more comprehensive program.

In discussions at its October 18, 1995 meeting, the Research Collections Committee outlined a tactical plan for scaling up the demonstration projects and for realizing the AAU/ARL Global Resources Program. This tactical plan outlines the vision and goals for the Global Resources Program, summarizes the context, identifies a set of issues, proposes a funding strategy, and describes actions that should be taken by AAU and ARL on those areas where immediate results can be achieved. The AAU/ARL Steering Committee reviewed the Tactical Plan at its April 1996 meeting. (See Section 1.4)

Discussions at the 1995 Committee meetings also highlighted concern about the implications of electronic information resources and the need to develop innovative approaches and structures aimed at facilitating electronic resource sharing. The Committee will further explore the implications of electronic information in developing research collections.

Members:	Betty Bengtson	(1996-98)
	Claude Bonnelly	(1995-97)
	Joe A. Hewitt	(1994-96)
	Robert Miller	(1995-97)
	William G. Potter	(1994-96)
	Donald Simpson	(1995-97)
	George Terry	(1995-97)
	Barbara von Wahlde	(1996-98)
	Dale B. Canelas, Chair	(1995-96)
	Winston Tabb, Library of Congress Liaison	
Staff Liaison:	Jutta Reed-Scott	

3.1.2 ARL Committee on Preservation of Research Library Materials

At its last two meetings, the Preservation Committee addressed the development of a new five-year preservation action plan. In preparing the plan, the Committee has focused on activities that complement ARL's capacities, support the broader missions of member libraries, and acknowledge current trends and issues in North American research libraries. The Committee completed work on the ARL preservation action plan in May 1995, and the ARL Board endorsed the plan at its July 25, 1995 meeting.

The plan lists an array of ongoing ARL preservation program strategies and identifies six new preservation initiatives. These center on strengthening copyright legislation to support preservation activities in the electronic environment, investigating the feasibility of establishing a national coordinated serials preservation project, developing cost models for preservation decision making, and advancing preservation-related digitizing projects, standards, and science research.

The Committee also coordinated ARL's response to the CPA/RLG Task Force on Archiving of Digital Information, and its members participated in the discussions with the Modern Language Association in New York on December 15, 1995. The meeting was held at ARL's suggestion in order to discuss important preservation issues raised in the MLA Statement on the Significance of Primary Records. The aim of the meeting was to determine collaborative strategies and to plan next steps. It was agreed that MLA and ARL should create both a joint working group to pursue the statement's recommendations and an action agenda for education, preservation, and lobbying. Meredith Butler, a member of the Preservation Committee, served as Co-Chair. Other members included Scott Bennett, Yale University; Peter Graham, Rutgers University; Merrily Taylor, Brown University; and Jan Merrill-Oldham, Consultant to the Preservation Committee. At a follow-up meeting on March 18, 1996, the American Historical Association joined MLA and ARL in sponsoring the joint working group.

Members:	David Kohl	(1995-97)
	Martin Runkle	(1994-96)
	Barbara J. Smith	(1996-98)
	William Walker	(1996-98)
	Meredith Butler, Chair	(1995-97)

Diane Kresh, Library of Congress Liaison
Jan Merrill-Oldham, Harvard (Consultant)

Staff Liaison: Jutta Reed-Scott

Section 4 Staffing and Management

4.1 Diversity and Minority Recruitment/Retention Programs

The Minority Recruitment and Retention Program is charged with increasing the number of minorities recruited and retained by ARL libraries. To this end, program staff work closely with a broad range of libraries, graduate library education programs, and other library associations to promote minority student awareness of opportunities that are presented by research library careers to support their academic success.

The Diversity Program assists ARL libraries in addressing a multitude of diversity-related issues. The major responsibility of the Diversity Program is to generate interest in and a focus on diversity within the library community, as well as to support the information needs of ARL libraries. Its primary concern is the development of workplace climates in ARL libraries that welcome, develop, foster, and support diversity. The Diversity Program seeks to develop an awareness of human differences and an acknowledgment of the value of and respect for these differences. The program focuses on issues surrounding work relationships in libraries, while considering the impact of diversity on library services, interactions with library users, and the development of collections.

To meet the program's goals, the Program Officer for Diversity and Minority Recruitment: provides on-site staff development seminars and presentations, and email and telephone consultation; facilitates staff discussions; conducts research via literature reviews and site visits to institutions; prepares articles and publications to share the Program's findings; seeks to identify strategies for adaptation by libraries and library schools; identifies issues and strategies relating to diversity and promotes them within ARL as well as to other national library-affiliated groups; and fosters partnerships on behalf of ARL with natural allies in the profession.

Summary of Activities
Promoting the ARL Agenda for Minority Recruitment. The Program Officer made a presentation to the ALA Executive Board in Chicago, Illinois on November 2 to share information about the ARL initiatives and the findings of the program. The ALA Executive Board determined in a Board retreat held November 16-18 to commit up to $250,000 to a diversity plan proposed by the ALA Executive Director. Part of the proposed plan will include the hiring of an ALA diversity officer.

In the February issue of *American Libraries,* an article entitled "Intimate World, Intimate Workplace" describes how ARL and ALA are strengthening their commitment to diversity.

Partnerships Program. Three ARL libraries joined the partnerships program, Opportunities for Success, for 1996: Arizona State University, University of Kansas, and Johns Hopkins University. The other ARL libraries who have participated as partners include: University of Colorado, Kent State University, Library of Congress, University of Michigan, Michigan State University, University of Missouri, University of Oregon, Pennsylvania State University, and State University of New York at Buffalo. This program is designed to provide opportunities for libraries, library and information science programs, associations, state libraries and consortia to work with ARL on developing initiatives focused on diversity and minority recruitment.

Diversity Issues in Canadian Libraries. Toni Olshen was named a VPO with the ARL Diversity Program for November 1995 through May 1996. Ms. Olshen has concentrated her research on diversity issues in Canadian libraries, working with Kriza Jennings to incorporate the Canadian research library perspective into ARL's Diversity Programs. To date, work completed includes: compiled four bibliographies, which will be available through the York University Library's home page; presented at the November CARL meeting and surveyed CARL members on library diversity initiatives; organized site visits to four Canadian libraries (University of Guelph, York University, University of Toronto, and University of Victoria); and submission and acceptance of a proposal to present at the Ninth Annual Conference on Race and Ethnicity in American Higher Education to be held in San Antonio in June. Ms. Olshen will present a report on the findings on diversity in Canadian libraries at the spring meeting of the ARL Minority Recruitment and Retention Committee.

Personnel. Kriza Jennings, Program Officer for Diversity and Minority Recruitment, tendered her resignation effective June 30, 1996. A search for a new program officer is in progress under the guidance of Susan Jurow, Director of OMS.

On-site Consultations, Presentations, Facilitated Discussions and/or Seminars
American Library Association, Executive Board, IL
University of Colorado-Boulder Library, CO
University of North Carolina-Chapel Hill, School of Information and Library Science, NC
North Carolina Central University, School of Library and Information Sciences, NC

University of Kansas Library, KS
American Library Association, Council of LAMA affiliates, TX
New York University Libraries
New York Public Library, Human Resources Department, NY
Tulane University Library, LA
Louisiana State University Library, LA
University of Missouri-Columbia Library, MO
University of Missouri-Columbia, School of Library and Information Science, MO
Johns Hopkins University Library, MD
University of Michigan Library, MI
Detroit Public Library, MI
University of Detroit Mercy, University Administration, MI
Western New York Library Resources Council, NY
University of Oregon Library, OR
Washington State University Library, WA
University of California-Irvine, CA
University of California-Los Angeles, CA
University of California-Santa Barbara, CA
University of Guelph Library, Guelph, Ontario Canada
University of Toronto Library, Toronto, Ontario Canada
York University Library, North York, Ontario Canada

4.1.1 Committee on Minority Recruitment and Retention

A major focus of the 1995 Committee agenda was to foster relationships with library educators, particularly with the Association for Library and Information Science Educators (ALISE). This ALISE focus was previously identified in a membership survey conducted by the former ARL Task Force on Minority Recruitment.

The goal of the collaborations with ALISE is to increase minority representation in library and information graduate school programs, and to identify specifically how ARL libraries or the Association may best support or partner with the schools' local efforts. The Committee is seeking to foster discussions with faculty and students from accredited graduate programs about strategies for advancing diversity and minority recruitment, as well as to encourage collaborative initiatives between individual ARL libraries and library schools.

The fall meeting focused on a discussion to prepare for joint initiatives with ALISE. Several ARL directors attended the ALISE January 1996 conference. ALISE allotted time for ARL's Committee Chair, Nancy Baker, to talk with the ALISE Deans and Directors Council, to explain ARL's objectives in attending the ALISE meeting, and to invite the deans/directors to join ARL directors at a meeting sponsored by ARL to be held at the ALISE conference. ARL hosted a one-hour early bird session with continental breakfast to discuss minority recruitment and retention agendas. ARL members and ALISE members met in small groups to identify and discuss issues and strategies for achieving a diverse workforce. In addition, ARL directors and staff attended several of the ALISE programs offered at the annual meeting. An update on the results from this meeting and the initiatives to be pursued will be discussed at the spring committee meeting.

The Committee is preparing to implement a program that will enable ARL libraries to voluntarily appoint a liaison from each library to serve as a contact point for this capability, to receive information, and to ensure it is shared widely among ARL library personnel. The Board was informed of this new initiative, and final drafts to invite participation will be reviewed at the spring meeting.

The Committee submitted an expansion of their committee charge to the ARL Board, with a goal of being more inclusive of the diversity aspects of the capability's focus. The Board accepted this expanded charge, but requested the committee discuss if the committee title needed to be changed in any way to better reflect the more inclusive charge. A change in title was discussed, but with no resolution for a recommendation to present to the board. It was decided to revisit this discussion at the spring 1996 meeting, when more time could be devoted to exploring the options.

The Committee met with OMS staff Maureen Sullivan and Kathryn Deiss to learn how diversity is addressed and/or included in the OMS management training institutes. The Committee's recommendation was that OMS identify ways to have the diversity elements of the training be more overt than covert. The discussion explored the need to expose ARL managers to the importance of diversity as a major focus for leaders in ARL libraries, and to make them aware of the ARL programs available to assist in the development of local library initiatives.

Participants from the Library of Congress' new initiative, the Leadership Development Program (LDP), created in order to recruit minorities for mid-level managerial positions, met with the Committee to describe the Program participants' experiences. Packets of information on ARL programs were shared with the LDP members prior to the meeting. An interesting dialogue was held after the presentation with a commitment to continue a relationship between ARL's capability and the next class of participants. A photo of the LDP presentation was included in the December issue of the ARL newsletter within an OMS article on the LDP and the roles of ARL/OMS staff engaged with the development of the program's participants.

Members:	Carol Armstrong	(1996-98)
	Ernie Ingles	(1994-96)
	John Haak	(1996-98)
	Edward Johnson	(1996-98)
	Charles E. Miller	(1994-96)
	Marilyn Sharrow	(1996-98)
	John Smith	(1994-96)
	James F. Williams	(1996-98)
	Nancy L. Baker, Chair	(1996-97)

Staff Liaison: Kriza Jennings

4.2 Office of Management Services

Established to help research and academic libraries develop better ways of managing their human and material resources, the OMS has assisted library leaders in finding more efficient and effective ways of meeting user needs for over twenty-five years. Several personnel and organizational changes announced in the past six months herald the beginning of a new period for the OMS. The OMS Diversity Program was combined with the ARL Minority Recruitment Program under the oversight of the ARL Executive Office. Susan Jurow, Director of OMS since 1990, and Kriza Jennings, Program Officer for Diversity and Minority Recruitment, both announced their departure, effective June 1 and June 30, respectively. Maureen Sullivan, long-time OMS Organizational Development Consultant, moved to the Washington, DC area and was able to provide greater support to ARL and OMS operations and programs as the Office braced for the transition. In 1995, three programs were established under the OMS umbrella: the OMS Organizational Development Program, the OMS Leadership Development Program, and the OMS Information Services Program.

4.2.1 OMS Organizational Development Program

To assist libraries in making the transition from an archival role to that of an information gateway in a period of limited resources and digital transformation, the OMS Organizational Development Program provides a wide range of consulting services, incorporating new research on service delivery and marketing as well as on organizational effectiveness. Using an assisted self-study approach, the OMS Organizational Development Program provides academic and research libraries with programs to develop workable plans for improvement in such areas as public and technical services, planning, team building, and organizational review and design. The OMS provides on-site and telephone consultation, staff training, manuals, and other materials to aid participants in gathering information and in situation analysis.

Summary of Activities
Activities between October 1995 and May 1996 continue to focus primarily on support for strategic planning efforts and the facilitation of organizational team building and visioning efforts. Projects designed to assist in rethinking organizational structure and process were also a source of activity.

During this period, projects undertaken included:

Strategic Planning and Planning Retreats. At a time when user demands and expectations are changing, computers and communications technology are redefining library structure and services, and information is being made available in a multiplicity of formats, libraries must consider imaginative and resourceful ways of embracing change without being crushed by it. The Strategic Planning Program is designed to help establish a clearer understanding of the future course a library should take, including priorities, strategies, management philosophy, and ways of meeting new challenges.

Institutions served: UCLA (facilities consolidation); University of Connecticut; Emory University (transition to new library); Harvard Houghton Library; University of Missouri; National Agricultural Library; North Carolina State University (mission, vision, values); University of Pittsburgh; University of South Carolina

Organization Review and Design Program and Organizational Rethinking Retreats. The Organizational Review and Design Program has two primary goals: to ensure the optimal use of resources and to create a flexible organizational structure capable of renewing and redirecting itself as needed in the future. During the course of the project, members of the library staff examine the fit of the current structure to current programmatic needs. Careful attention is paid to horizontal and vertical design features, so that the structures developed during the project provide appropriate communication and decision-making mechanisms. The process includes implementation planning and project evaluation. OMS also provides support for libraries working on their own to develop new organizational structures.

Institutions served: University of Saskatchewan; University of Minnesota; Washington State University; Clark Art Institute

Team Building & Retreat Facilitation. Skilled facilitators are available to work with short- and long-term committees, work groups, and library-wide community efforts to build a strong foundation for group effectiveness. Issues such as group development, conflict management, interpersonal relations, idea generation, and process planning are explored. Action planning that supports ongoing efforts is a key component of this program.

Institutions served: Georgetown University (senior management team); Library of Congress Publications Division (process review and streamlining); Southeastern University Research Association (unblocking university information); University of North Texas (rethinking public services)

4.2.2. OMS Information Services Program

The OMS Information Services Program gathers, analyzes, and distributes information on contemporary management techniques, conducts surveys and analytical reviews, and answers inquiries on library issues and trends. The overall goals of the Program are identifying expertise and encouraging its exchange; promoting experimentation and innovation; improving performance; and facilitating the introduction of change. These are accomplished through an active publication and service program whose principal components are the Systems and Procedures Exchange Center (SPEC), the OMS Occasional Paper Series, the Quick-SPEC survey services, and the OMS Conferences Program. Through the OMS Collaborative Research and Writing Program, librarians work with OMS staff in joint research and writing projects that are then published by OMS. Participants and staff work together in survey design, writing, editing, and in seeking management perspectives on current academic concerns.

Summary of Activities
The Systems and Procedures Exchange Center (SPEC). SPEC Kits organize and collect selected library documents pertaining to a specific area of library management. Kits are designed to illustrate alternatives and innovations used in dealing with particular issues. Documents describing both the administrative and operational aspects of the issue are included. While this program was established to exchange useful information for strengthening library operations and programs among ARL members, a number of academic, public, and special libraries worldwide are among the more than 490 SPEC subscribers. In fact, more than 5,000 SPEC Kits are distributed annually.

Increased marketing efforts for the SPEC program are in the initial stages. Because the position of Program Officer for Information Services was vacant for a large portion of 1994, the program is currently behind in the production of SPEC Kits. This has impacted both distribution and revenue figures due to lack of product. This problem is further exacerbated by the recent problems with late survey responses. Solutions are under investigation to return the program to an appropriate production schedule.

Although e-mail distribution of SPEC Surveys began in early 1995, an e-mail distribution list has recently been created for one-way communication to the SPEC liaisons. Once this list is operational, considerable time will be saved in distributing surveys and other communications.

Efforts continue on updating and expanding the current SPEC Index. An electronic copy of the records pertaining to the SPEC Kits was obtained from the Education Resources Information Clearinghouse (ERIC), which indexes and abstracts all ARL publications. It is planned that this information will be imported into a separate and searchable electronic database that would also be used as the foundation for a printed subject, title, and author index.

The following SPEC Kits were produced between October 1995 and May 1996:

#212 *Non-Librarian Professionals*, compiled by John Zenelis and Jean Dorrian, Temple University.

#213 *Technical Services Workstations*, compiled by Michael Kaplan, Harvard University, Judy Brugger, Cornell University, and Joseph Kiegel, University of Washington.

#214 *Digitizing Technologies for Preservation*, compiled by L. Suzanne Kellerman, Pennsylvania State University and Rebecca Wilson, Susquehanna University.

#215 *Library Reorganization and Restructuring*, compiled by Joanne Eustis and Donald Kenney, Virginia Polytechnic Institute and State University.

SPEC Kits currently in progress
Total Quality Management
Information Technology Policies
Distance Education
Onsite Internet training
Library Homepages
Improving the Reshelving Process
Library Reserves
Professional Development

Future SPEC topics under consideration:
Retrospective Conversion
Resource Sharing
Electronic Text Centers in ARL Libraries
Remote Storage
Geographic Information Systems (GIS)
Copyright

Occasional Paper Series. Occasional Paper #18, *Benchmarking Interlibrary Loan*, was published in October 1995. *Video Collections and Multimedia in ARL Libraries*, by Kris Brancolini, Indiana University, and Rick Provine, University of Virginia, is currently in progress. Future topics include *Reorganization*, with contributions from a number of sources; and *Electronic Information Resources and Collection Development* by Gordon Rowley, Iowa State University.

Quick SPEC Surveys. One Quick SPEC Survey was conducted by OMS for the Office of Scientific and Academic Publishing on cutbacks in library materials purchasing. The results of this survey will be published in a forthcoming article in the ARL newsletter.

Conferences. OMS showcased its programs and services at the ALA Mid-winter Conference in San Antonio. OMS also prepared several Special Focus Flyers (bibliographies of ARL/OMS publications on various programmatic topics).

Career Resources Website. In January, ARL developed a Career Resources Website that lists job vacancy announcements from ARL member libraries. This service, designed to alert prospective employees to job vacancies and career opportunities within ARL member libraries, provides members with a better forum for advertising their position openings. By April, over 60 job announcements were available from a wide array of library service areas. The site also links to other career resource pages. The service was designed and is maintained by Allyn Fitzgerald, Senior Research Analyst. The site address is <http://arl.cni.org/careers/vacancy.html>.

4.2.3 OMS Training and Staff Development Program

The OMS Training & Staff Development Program designs and delivers unique and dynamic learning events that actively assist academic and research libraries to recognize, develop, optimize, and refine staff talents and skills. During the October 1995 - May 1996 time frame, the OMS Training and Staff Development Program conducted 26 events.

Increased demand for sponsored Training Institutes and On-Site Learning Workshops and Programs has continued. Organizations, experiencing tightened resources, are finding it more cost-effective and more productive to bring OMS to their site.

Summary of Activities

- Designed and offered the first Facilitating Change: The Internal Consultant Institute, held at the University of British Columbia.
- Planned and started an extensive training program at Pennsylvania State University to focus on team development and leadership development.
- Contributed to Harvard's Finding Common Ground Conference.
- In collaboration with the Program Officer for Statistics and Measurement, began planning a series of workshops on assessing user satisfaction and statistics.

Workshops and Institutes Offered October 1995 - May 1996

Library Management Skills Institute I: The Manager
Washington Research Library Consortium, January 29-February 1, 1996
Syracuse University, January 29-February 1, 1996 and March 11-14, 1996
Library of Congress, Soros Fellows, March 18-22, 1996
The New York Public Library, April 8-11, 1996
Houston, Texas, April 22-25, 1996
Middle and senior managers in the library participated and were able to address some of the critical leadership issues they face with a focus on the individual and his/her relationship to the library as a whole.

Library Management Skills Institute II: The Manager's Role in the Organization
St. Louis, Missouri, November 13-17, 1995
Ontario Council of University Libraries, December 4-8, 1995
Focuses on the manager's role as leader in the larger organization. Within the framework of the learning organization, participants explore such issues as organizational communication, shared visioning, strategic planning, and gaining staff commitment to organizational change.

Leadership Development Workshop
University of Pennsylvania, December 11, 1995
Focuses on helping middle and senior managers identify the skills and abilities for providing effective leadership in today's changing and challenging research library environment.

Fostering Collaboration Between Libraries and Information Technology Centers
CAUSE Annual Conference in New Orleans, November 28, 1996
Focuses on understanding areas of agreement and difference between the two types of organizations and the identification of practical approaches to collaboration.

Team Building Workshop
Boston Library Consortium, December 7-8, 1995

Focuses on developing the skills required of effective team members as well as an understanding of the tools and techniques for problem solving and decision making in teams.

Introduction to the Learning Organization
University of Connecticut, December 13-14, 1995
Focuses on understanding the principles and practices of the learning organization and exploring potential applications in research libraries.

Training Skills Institute
Baltimore, Maryland, March 20-22, 1996
Focuses on preparing staff who have responsibility for in-house training events to design, develop, and deliver quality learning events.

Reorganization Planning & Leadership Development Workshop
New York Public Library, Rare Books & Manuscripts, August 1995 through May 1996
Focuses on management and leadership issues before, during, and after reorganization within the workplace.

Leadership Development Program
Library of Congress, September 1995 through February 1996
Provides a leadership and management curriculum focusing on issues faced by individuals who are moving into higher levels of responsibility within a diverse and changing workplace.

Facilitation Skills Institute
University of Tennessee, March 25-27, 1996
Focuses on skill development as an in-house facilitator who can assume a key role in helping groups and teams produce better quality results.

Beyond Brainstorming: Tools for Crafting a Creative Environment in Libraries
Harvard Conference: Finding Common Ground, March 30, 1996
Focuses on tools and techniques for creative problem solving in groups.

The Art of Communication
Boston Library Consortium, April 2-3, 1996
Focuses on understanding the communication process and exploring ways to improve communication in groups and organizations as well as in interpersonal relationships at work.

4.2.4 Committee on the Management of Research Library Resources

The ARL Committee on the Management of Research Library Resources was established to help the Association augment the management capabilities of its members, including the recruitment, development and effective use of staff. The Management Committee is charged with monitoring developments, determining critical issues requiring ARL attention, informing members, and designing strategic responses that can serve to strengthen the management of research library resources.

The Committee offered to prepare the program for the October 1996 Meeting to focus on the university in transition. The effort is designed to provide a more clearly delineated context for the emerging digital library and an opportunity for library directors to influence the thinking of senior university administrators.

1996 Agenda of Issues:

- Support the realization of digital libraries through supporting the transformation of universities
- Provide a framework for the effective recruitment and evaluation of library directors
- Identify activities and projects in the management area to be recommended for action to ARL staff, OMS staff, and the membership
- Develop greater understanding of management and organizational issues through discussions among Committee members and invited guests

Meetings planned in 1996:

Meetings are scheduled in conjunction with the May and October membership meetings.

Members:	Nancy Eaton	(1996-1998)
	Kent Hendrickson	(1995-1997)
	Graham Hill	(1995-1997)
	Sarah Michalak	(1996-1998)
	Robert Migneault	(1996-1998)
	Rush Miller	(1995-1997)
	Charles Osburne	(1995-1997)
	Ruth Patrick	(1995-1997)
	Frank Polach	(1994-1996)

Members (cont.):	Sherrie Schmidt	(1996-1998)
	Carolyn Snyder	(1996-1998)
	Paul Kobulnicky, Chair	(1996-1998)

William Crowe (ex officio as chair, Statistics & Measurements Committee)

Staff Liaison:
Susan Jurow
Maureen Sullivan

4.2.5 Advisory Committee for the Office of Management Services

This Committee, established by Board action in 1991, provides fiscal and programmatic oversight for the OMS. The Chair of the ARL Committee on Management of Research Library Resources serves as the Chair of the Advisory Committee. The Committee monitors the development and progress of the OMS budget. Discussion at the October membership meeting focused on the improved financial performance of the OMS and approaches for engaging in short-term operational planning and long-range strategic planning.

Members:	Arthur Curley	(1995-97)
	Barbara von Wahlde	(1995-97)
	Kent Hendrickson	(1995-96)
	Paul Kobulnicky, Chair	(1996-98)

Staff Liason:
Susan Jurow
Maureen Sullivan

Section 5 Performance Measures

5.1 Statistics and Measurement Program

The Statistics and Measurement Program describes and measures the performance of research libraries and their contribution to teaching, research, scholarship, and community service. This Program includes support for the ARL Statistics and Measurement Committee and collaboration with other national and international library statistics programs.

Strategies to accomplish this objective include:

- Collecting, analyzing, and publishing quantifiable information about library collections, personnel, and expenditures, as well as expenditures and indicators of the nature of a research institution;
- Developing new measures to describe and measure both traditional and networked information resources and services;
- Developing mechanisms to assess the relationship between campus information resources and high quality research, the teaching environment, and, in general, the success of scholars and researchers;
- Providing customized, confidential analysis for peer comparisons;
- Preparing workshops regarding statistics and measurement issues in research libraries; and
- Developing a leadership role in the testing and application of academic research library statistics for North American institutions of higher education.

Summary of Activities

Published Statistical Reports. The largest portion of this program's resources are devoted to collecting, verifying, analyzing and publishing the data for the following annual publications:

• *ARL Statistics* 1994-95 edition was published in March 1996. This is the standard annual report that reports growth in research library resources, expenditures and service activities. The introduction to this report tracks trends in expenditures and unit prices for serials and monographs and in service activities such as interlibrary loan, circulation, reference services, and library instruction.

• *Developing Performance Indicators for Academic Libraries: Ratios from the ARL Statistics*, published for the first time in 1995, will continue publication on an annual basis. It reports thirty ratios calculated from data in the ARL Statistics and provides an introduction with a brief literature review on performance indicators in higher education.

• *ARL Academic Law and Medical Library Statistics*, two editions published for the first time in April 1996: the 15 year compilation from 1977-78 to 1991-92, and the three-year compilation 1992-93 to 1993-94. Law and medical library statistics will be collected on an annual basis in subsequent years. The introduction to the three-year compilation reports on unit costs for serials and monographs in academic law and medical libraries.

• *ARL Annual Salary Survey*, the 1995-96 edition was published in December 1995. This report presents data on more than 8,000 professionals in ARL libraries. It covers U.S. and Canadian university and non-university libraries, as well as academic law and medical libraries. According to the findings salaries seem to be increasing with the median salary for academic librarians $41,000 and the median for beginning salary $27,000.

- *ARL Preservation Statistics*, the 1994-95 edition is published in May 1996. This report tracks activities and resources invested in preservation programs in research libraries.

- *The Age Demographics of Academic Librarians: a Profession Apart* was written by Stanley Wilder from Louisiana State University who served as a Visiting Program Officer and completed a study on age demographics and retirement trends using data from the *ARL Annual Salary Surveys* 1990 and 1994. The results were published in December 1995 and explore the effects of the baby boom on professional staff in ARL libraries.

Unpublished Reports. In addition to the published data compilations, the program prepared for the member libraries two annual unpublished reports.

The *ARL Supplementary Statistics* is a testbed for new variables to be ultimately incorporated into the *ARL Statistics*. It serves an important role in that it guarantees that questions migrating into the regular annual compilation provide valid and reliable data. The 1994-95 edition is currently being compiled.

The *Library Expenditures as a Percent of Education and General Expenditures* tracks the percent of library expenditures out of the total university budget. An interesting trend during the last ten years is the decline in the percent of library expenditures as a percent of university budget. The 1994-95 edition will be available in May 1996.

The *Survey of Professional Job Titles 1994* was a one-time survey that asked libraries to suggest job titles for expanding the position titles in the *ARL Annual Salary Survey*. The data will be analyzed later in the year.

Survey of Endowed Positions 1994 was a one-time survey that reported the number of endowed positions in ARL libraries.

Educational Credentials for Professional Librarians: MLS vs. non-MLS salaries compared the salaries of professionals with a MLS vs. those without one, using data from the *ARL Annual Salary Survey* 1994, and did not find any differences in their salaries.

Electronic Publishing. *The Electronic edition of the ARL Statistics on the WWW* is noteworthy as it is constantly upgraded providing new features. It now provides an extensive interactive data analysis component and the latest addition to the ARL statistics pages on the WWW includes 10 years of membership data, as published in the *Chronicle of Higher Education* each spring. The data can be displayed as numbers or as graphs for each academic member of ARL. The Web presentation was prepared by the Social Sciences Data Center of the University of Virginia. Access to the membership data is through (a) an interactive map of North America, showing the locations of the ARL libraries, and (b) alphabetical lists of the ARL libraries. Membership data published in the *Chronicle* and made available on these web pages are for the categories of volumes held, added volumes, current serials, total library expenditures, and total staff, as well as the ARL membership index and ranks. The website also includes an explanation of how the ARL index is used in assessing potential members and a table of formulas for calculating the index for the last 10 years.

Other electronic products available on the Internet include the *ARL Preservation Statistics*, brief descriptions of projects, newsletter articles, etc. <http://arl.cni.org/stats/>

User Surveys Initiative. Kendon Stubbs is a Visiting Program Officer for 1996 to develop a manual on user surveys. This initiative progressed during the last year by (a) appointing an advisory committee that met in January, (b) carrying forward a consulting assignment at Ohio State University, (c) conducting a workshop at the University of Connecticut, and (d) a one-day workshop on User Surveys in Academic Libraries is planned on July 5th in conjunction with ALA in New York.

Workshops. The ARL Statistics and Measurement Program is organizing four workshops in 1996 including the one mentioned above. In particular, the following workshops are being planned:

- The Role of Assessment in Advancing Diversity for Libraries: *May 2-3, 1996, Washington, DC*
- Conducting User Surveys in Academic Libraries: *July 5, 1996, New York ,NY*
- Statistics for Librarians: *September 26-27, 1996, Washington, DC*
- Electronic Publishing of Data Sets on the WWW: *Oct. 28-30, 1996, Charlottesville, VA*

Contracts and Consulting. This largely dues-based program is expanding its cost-recovery activities by contracting for custom reports and consulting services. Major activities during the last year included consultation and coordination for the *AALL Biennial Salary Survey 1995* and the development of custom reports for peer institution comparison for ARL member libraries.

Communication Activities. To further develop the perspectives of the ARL Statistics and Measurement Program, the following papers were presented:

- "Interactive Statistical Analysis on the WWW," by Martha Kyrillidou and Kendon Stubbs. Given at the NCES Summer Data Conference, June 1995
- "Developing Indicators for Academic Library Performance," by Martha Kyrillidou. Given at the CARL meeting in Ottawa, November 1995.

Communication activities with the ARL Survey Coordinators included management of the three electronic lists for the three annual statistical surveys (arl-statsurvey, arl-statsalary, and arl-statpresv) and organizing and holding meetings for the ARL Survey Coordinators in conjunction with the ALA meetings in Chicago and San Antonio.

Liaison with External Statistical Programs. ARL has actively sought to cooperate with other library and higher education data gathering efforts, extending the influence of ARL perspectives and seeking experience to assist ARL in refining its data gathering and measurement approaches. Specifically, the ARL Statistics and Measurement Program was represented in the following committees/activities in 1995:

ALA/IPEDS Advisory Committee advises NCES on the IPEDS Academic Libraries survey. This committee meets twice a year in conjunction with the ALA meetings. William Crowe (University of Kansas), Chair of the ARL Statistics and Measurement Committee, and Martha Kyrillidou, Program Officer for Statistics and Measurement, attended these meetings in 1995.

ALA/ESAL project. Jennifer Cargill (Louisiana State University), member of the ARL Statistics and Measurement Committee participates at the Advisory Committee for the ALA/Ameritech survey on electronic services in academic libraries.

NACUBO Benchmarking Council. NACUBO is organizing this group whose purpose is to develop benchmarking tools to identify best practices through (a) coordinating the benchmarking activities of participating institutions; (b) leveraging the technical expertise within the Council; (c) taking advantage of economies of scale in conducting benchmarking activities; and (d) developing coordinated training efforts. The first meeting of this group was held on April 10, 1996. Martha Kyrillidou participated in that meeting representing CAUSE, Educom, and ARL.

NPEC Council on Postsecondary Education met in November 1995 for the first time. The purpose of the Council is "to produce and maintain with the cooperation of the states, comparable and uniform educational information and data that are useful for policy making at the federal, state and local levels." NPEC is a voluntary partnership among governmental and nongovermental providers and users of education data. The central mission of NPEC is to promote quality, comparability, and utility of postsecondary data and information that support policy development.

The ARL Program Officer for Statistics and Measurement also attended the following conferences: CNI Task Force Meetings, Digital Libraries Conference, and ASQC (American Society for Quality Control) conference on Customer Satisfaction.

Coordination with Related ARL Programs. The Statistics and Measurement Program is working with other related ARL programs, including Access to Information Resources, Minority Recruitment and Retention, Office of Management Services, Preservation, and Research Collections.

Members of the ARL Statistics and Measurement Committee serve as advisors to the ILL Performance Measures Study funded by The Andrew W. Mellon Foundation and the Program Officer provides data processing services to the project.

At the operational level recent activities include planning and participation for ARL technologies through the four-member Technology Team.

5.1.1 Committee on Statistics and Measurement

During 1995, the Committee developed and refined the long-term plan for the program and its relation to Board priorities. The nature of performance indicators was discussed and the Committee agreed to make available a publication that includes selected ratios from the ARL Statistics. Support was also provided to Stanley Wilder (Louisiana State University), who served as a Visiting Program Officer, to complete his study on age demographics of academic librarians. During the fall ARL membership meeting, a panel examining recent demographic trends and their impact was organized, and the long-term program plan was presented to the membership.

The Committee also decided to incorporate a number of output measures in the ARL Statistics survey and has been working on drafting a new survey on Access Characteristics to be distributed in the coming year. Kendon Stubbs was appointed Visiting Program Officer to explore and develop a guide on how to conduct user surveys as an alternative way to evaluating library performance. The Committee also realizes how laborious and engaging the existing data gathering activities are and provided support in implementing processes to speed up response rates to the annual surveys.

The discussions held by the ARL Statistics and Measurement Committee show that there are different perspectives on how much value we could assign to technological innovations and to what extent traditional library services and functions are being affected. At the same time it was recognized that we are in the midst of a revolutionary transformation of library services. The Committee emphasized the need to continue collecting traditional measures while also exploring measures for non-traditional formats and services.

The ARL Statistics and Measurement Committee concurs that the ARL Membership Criteria Index is a way to measure the commonality of research libraries. At the same time though, there is a need to identify in what ways libraries are unique and complementary of one another.

On the issue of examining library performance, it is recognized that effectiveness means different things to different libraries and that we need to survey the members on how *they* define an effective library. There is a need to identify what aspects of a library's operations are currently being measured to indicate effectiveness at the local level.

The need to monitor more closely the *costs* related to the provision of information was emphasized. The discussion on costs concentrated on personnel costs and the need to conduct a study of the way staff are deployed in ARL libraries. The Committee pointed out that it will be very difficult to do a complete staff utilization and functional analysis and it may be that we need to rely on volunteer libraries to collect data initially. The definitional problems will be major, but the salary survey method can be used as an model for developing a study that will be more indicative, rather than definitive, of personnel costs in different functions or activities. As a mid-term goal we can move towards this direction by encouraging each library to develop a database for information about characteristics of support staff positions similar to the one available for professional staff in the Annual Salary Survey Study.

1996 Agenda of issues

- Advise on annual projects: monitor and refine *1995-96 ARL Statistics, Supplementary Statistics* questionnaire, *ARL Law and Medical Library Statistics* and 1996-97 *ARL Annual Salary Survey.*
- Advise Kendon Stubbs on developing a manual on how to conduct user surveys and support the work of the 'user surveys' advisory committee.
- Refine and distribute a survey on access characteristics.
- Advise on the development of an interactive data analysis component of the electronic publication of the *ARL Statistics*
- Advise on collaborative projects with other ARL programs
- Seek funding for applying SERVQUAL in academic libraries (Principal Investigator: Danuta Nitecki)
- Seek funding to explore expenditures for electronic resources
- Develop a survey on library facilities

Members:	Jennifer Cargill	(1995-1997)
	Carolynne Presser	(1996-1998)
	Ray Metz	(1996-1998)
	Carla Stoffle	(1994-1996)
	William Studer	(1993-1995)
	Don Tolliver	(1995-1997)
	Gloria Werner	(1996-1998)
	William Crowe, Chair	(1995-1997)
	Gordon Fretwell, Consultant Emeritus	
	Kendon Stubbs, Consultant	
Staff Liaison:	Martha Kyrillidou	

Section 6 Supporting Capabilities

6.1 Governance of the Association

The capability for governance of the Association is intended to represent prudently the interests of ARL members in directing the business of the Association. The governing body is the ARL Board of Directors, whose functions include: to establish operating policies, budgets, and fiscal controls; to approve long-range plans; to modify or clarify the ARL mission and continuing objectives; to monitor performance and the succession of the Executive Director; and to represent ARL to the community. The staff role in this capability is to provide information to the Board adequate to fulfill its responsibilities in a knowledgeable and expeditious manner. The Board establishes several committees to help achieve effective governance of the Association.

1.) Program and Budget Review. In July 1995, the Board reviewed the fiscal condition of the Association and developed a financial strategy for 1996. The result was a recommended member dues increase for 1996 of $500, for a total of $13,850. In October, the full membership endorsed the dues increase.

At its February meeting, the Board reviewed the 1996 Program Plan and the proposed 1996 resource allocations. The 1996 Program Plan presents the framework of program capabilities as developed by the Executive Director and staff to implement the program objectives and financial strategies. The February Board discussions led to the adoption of the Program Plan and direction to the Executive Director to reallocate resources if needed to engage emergent issues in an agile fashion. There was recognition that the crucial issue of copyright and copyright legislation may call for added investment and may reduce the 1996 contribution to the Board designation reserve fund. The Board also identified as a major priority for further development in 1996 the capacity for research libraries to sponsor and support electronic scholarly publishing.

In July 1995, the Board authorized ARL's participation in the National Initiative for a Networked Cultural Heritage (NINCH), subject to development of a creative funding strategy to support the first year of participation. This was achieved in late 1995 through a grant from the Delmas Foundation. In 1996, ARL joined the American Council of Learned Societies, the Getty Art History Information Program, the Coalition for Networked Information and a number of other organizations that serve the arts, humanities, social sciences, and disciplines that create and interpret human culture in an initiative to assure the widest possible participation of organizations concerned with our cultural heritage in the evolution of the global information highway.

2.) Association Officers. In October 1995, Gloria Werner was elected Vice-President/President Elect. John Black completed his term on the Board and as Past President of the Association. George Shipman, David Stam, and Dale Canelas completed their three-year terms on the Board. The Nominating Committee, chaired by Nancy Cline, brought forth the nominations of Betty Bengtson, William Crowe, and Carole Moore to stand for election to the Board. The membership supported these nominations by acclamation.

3.) Committee Activities. In 1995, ninety member library directors participated in eight standing committees, nine advisory committees and task forces, and 18 liaison assignments. Virtually all interested library directors were involved in ARL groups during the course of the year. At the end of the year, forty-two appointments were made by the Executive Committee to fill openings in the Committees for 1996.

4.) New Membership Groups. An ad hoc membership committee was established to consider the suitability of the Ohio University Library System for membership. The Committee is comprised of Nancy Cline, Sheila Creth, and Gloria Werner, who serves as Chair. During this period, the group completed its work and reported to the Board of Directors. The Board decided to bring the recommendation to the full membership for consideration at the May 1996 membership meeting.

An Advisory Committee for the ILL Performance Measures Study was established. Shirley Baker (Washington) chairs, and Bill Crowe (Kansas), Kent Hendrickson (Nebraska), Paul Kobulnicky (Connecticut), and Bill Studer (Ohio State) are members. The members serve as liaisons to ARL's committees on Access, Statistics and Measurement, and Management.

An ARL Working Group was established to work with representatives of the Modern Language Association's Committee on the Future of the Print Record to consider the development of "Categories of Material having indisputable, artifactual value." Meredith Butler (SUNY-Albany) co-chairs and Scott Bennett (Yale), Merrily Taylor (Brown), Peter Graham (Rutgers), Eric Ormsby (McGill), and Jan Merrill-Oldham (Harvard) are members.

5.) Assignments Completed. A Task Force on Preservation of Copyrighted Materials, with membership drawn from four standing committees (Access, Information Policies, Preservation, and Scholarly Communication), was established to advise on efforts to shape and influence various national discussions on the legislative changes needed in the copyright law to serve better the preservation of copyrighted materials. The Task Force completed it work last October.

Status Report on Standing Committees and Selected Advisory and Project Group Activities

Committee on Information Policies

Chair: James Neal
Staff: Prue Adler

1996 Agenda of issues:

- Advise on the development of ARL legislative strategies, monitor and assess other government policies, especially in regard to the National Endowment for the Humanities examine copyright and intellectual property
- Examine and monitor developments in networking and telecommunications monitor access to government information
- Advise on efforts to strengthen ARL's ability to communicate with policymakers

Committee on Access to Information Resources

Chair: Shirley Baker
Staff: Jaia Barrett

1996 Agenda of issues:

- Promote and support the NAILDD agenda and activities
- Contribute to ARL projects that elaborate the concept of a distributed, multi-institutional research library collection that is linked together and made accessible to users via networked services
- Monitor and support the efforts of the Library of Congress that increase cataloging effectiveness and productivity

Committee on Research Collections

Chair: Dale Canelas
Staff: Jutta Reed-Scott

1996 Agenda of issues:

- Determine next steps in developing foreign information resources, electronic information resources and electronic resource sharing
- Advance the distributed research collections concept

Committee on Preservation of Research Library Materials

Chair: Meredith Butler
Staff: Jutta Reed-Scott

1996 Agenda of issues:

- Reauthorize the National Endowment for the Humanities
- Determine next steps with the ARL Preservation Plan
- Advance the development of a North American strategy for preservation, retrospective conversion of the National Register of Microform Masters (NRMM) for serials
- Assess the impact of new technology on preservation

Committee on the Management of Research Library Resources

Chair: Paul Kobulnicky
Staff: Susan Jurow and Maureen Sullivan

1996 Agenda of issues:

Examine organizational effectiveness, human resources utilization and development, and library education and recruitment

Committee on Minority Recruitment and Retention

Chair: Nancy Baker
Staff: Kriza Jennings

1996 Agenda of issues:

- Promote collaborative efforts with ALISE
- Foster discussions among ARL members, library educators and students to explore recruitment strategies
- Provide leadership to increase visibility of the new capability

Committee on Scholarly Communication

Chair: Elaine Sloan
Staff: Susan Jurow/Mary Case (effective June 1) and Duane Webster

1996 Agenda of issues:

- Promote initiatives to encourage publishing electronically
- Monitor developments in the scholarly publishing arena

- Contribute to the development of ARL positions on ownership and copyright
- Monitor and report on publishers licensing plans

Committee on Statistics and Measurement

Chair: William Crowe
Staff: Martha Kyrillidou

1996 Agenda of issues:

- Monitor new questions on 1993-94 ARL Statistics and Supplementary Statistics questionnaires
- Monitor issues raised through participation in ALA-NCES Advisory Committee and other national groups
- Plan a "hot topics" or briefing session for members at a future meeting to discuss new initiatives
- Advise on revision of ARL access inventory

Working Group on Copyright Issues

Chair: James Neal
Staff: Duane Webster and Prue Adler

Assignment: To advise on ARL activities and interests on intellectual property and copyright matters

Firm Subscription Prices Working Group

Chair: Elaine Sloan
Staff: Susan Jurow/Mary Case (effective June 1)

Assignment: To maintain a dialogue with the vending and publishing community to attain prices for the subscription year early in the previous calendar year

Advisory Committee on the Office of Management Services:

Chair: Paul Kobulnicky
Staff: Susan Jurow and Maureen Sullivan

Assignment: To advise on strategy development for ongoing operations, provide guidance in performance and program effectiveness assessment, and review OMS budget and financial plans

Working Group on Scientific and Technical Information

Chair: Marilyn Sharrow
Staff: Jaia Barrett

Assignment: To monitor STI developments and to function as advisor to the Board for shaping further ARL activities in this area

Ad Hoc Membership Committee for Ohio University

Chair: Gloria Werner
Staff: Martha Kyrillidou

Assignment: Assess the Ohio University Library System to determine its suitability for membership in ARL

AAU-ARL Research Libraries Steering Committee

Co-chairs: Jerry Campbell and Myles Brand
Staff: Duane Webster and John Vaughn

Assignment: To promote implementation of the AAU-ARL action agenda that resulted from the AAU Research Libraries Project

Advisory Committee on ILL Performance Measures

Chair: Shirley Baker
Staff: Mary Jackson

Assignment: To advise on conduct of project

ARL-MLA Working Group on Preservation Issues

Chair: Meredith Butler
Staff: Jutta Reed-Scott

Assignment: Develop on action agenda for education and preservation

6.2 Communication and External Relations

The capability for Communication and External Relations is designed to: acquaint ARL members with current, important developments of interest to research libraries; inform the library profession of ARL's position on theses issues; influence policy and decision makers within higher education and other areas related to research and scholarship; and educate academic communities about issues related to research libraries.

Through print and electronic publications as well as direct outreach, members of the library, higher education, and scholarly communication communities are informed of important developments and ARL positions on issues that affect the research library community. External relations with relevant constituencies are also carried on through all ARL programs.

6.2.1 ARL Publications Program

Even as ARL promotes electronic publishing within the scholarly community, we are not yet sure how our publications program will most effectively make this transition. ARL aims to encompass and optimize new computer and telecommunications technologies, while continuing an appropriate print publications program. Until a secure and dependable mechanism is in place for cost recovery for electronic publishing, the Association must absorb the costs of what it publishes on the Internet. In the meantime, the Internet offers the ability to provide no-charge services to members and other users. Because the cost of distributing works on the Internet is so low (most of the costs are expended on the first copy), ARL is able to give away far more information than in a print-only environment, where extra copies must be printed and mailed to readers. However, we continue to receive requests for paper copies of publications that are available electronically.

Communications Priorities in 1996:

- Analyze sales and develop marketing strategies for ARL publications
- Develop centralized mailing list for ARL
- Develop 3- to 5-year plan for the Publications Program
- Maximize effective technology utilization, including exploring the feasibility of enhancing the publications accounting software system
- Explore options for enhancing electronic publishing efforts through cost recovery mechanisms
- Evaluate the copyright policy for ARL publications

Summary of Activities
1.) *Newsletter.* Four issues of *ARL: A Bimonthly Newsletter of Research Library Issues and Actions* were published since October. Jaia Barrett, Deputy Executive Director, and Michael Matthews, Communications Specialist, serve as editor and copy manager, respectively. Topics covered in these issues included: copyright, diversity, updates on the progress of the AAU/ARL action agenda, and reports from individual programs and capabilities. All ARL newsletters are also issued via the ARL Gopher.

2.) *ARL-Announce.* Established in January 1995, this service provides electronic updates about ARL activities to the community outside of ARL. The subscriber base continues to grow, and feedback regarding the service is positive.

3.) *Information Packets.* ARL regularly receives information requests on a vast array of topics from a variety of sources, including students, educators, the press (scholarly and popular), and representatives of the information industry. In recent months, we received inquiries about the library community's response to the Administrations' White Paper on Intellectual Property, ARL initiatives in the area of interlibrary loan and document delivery, and electronic publishing efforts within the scholarly community. To facilitate these requests, ARL Publications has developed Focus Fliers on particular topics and a standard ARL Information Packet that includes key resource documents about ARL programs and services, including: fact sheets, recent press releases, a publications catalog, OMS training schedule, and information about pertinent resources available on the ARL Server.

4.) *Proceedings of the ARL Annual Membership Meetings.* Beginning with the proceedings from October 1995, membership meeting proceedings will be published electronically on the ARL Server. In an effort to ensure the widest distribution possible, plans are underway to make back issues also available electronically. Staff at the University of California-Berkeley are assisting ARL in this effort. The May 1994 meeting proceedings, *The Research Library the Day After Tomorrow*, were issued in print and electronic form in January 1996.

5.) *Outreach to Library Community.* ARL exhibited its programs and publications at the ALA Midwinter Meeting in San Antonio in January 1996.

6.) *Relations with the Scholarly Community and External Groups.* Collaboration on both a technical and policy level is documented under all individual capabilities. Activities at the executive level in the past six months include collaborations with, among others, the Association of American University Presses, the National Humanities Alliance, the Modern Language Association, NASULGC, the Association of American Universities, the American Council of Learned Societies, and CAUSE. Excerpts from two recent ARL publications are to be published in CAUSE's journal in 1996.

7.) *ARL Communications Team.* In the spring of 1995, ARL formed a Communications Team, whose mission is "to ensure a uniform, time-efficient approach to bulk external communications." External communications includes all ARL/OMS publications, promotional activities, and electronic services. The team consists of the Information Services Coordinator, the OMS Program Officer for Information Services, the Electronic Services Coordinator, the Office Manager, the Communications Specialist, the Senior Research Analyst, and the Publications Clerk. In 1996, the Team is focusing on three areas: creating a marketing plan for the Association, outlining strategic options for publication program development in the coming years, and developing a centralized mailing list.

In March, Nichelle Millings, Publications Clerk, left ARL; Allyn Fitzgerald, Senior Research Analyst, is filling in this position on a temporary basis.

6.2.2 Electronic Communications and Technology

Development of the ARL Server on the Internet.
ARL Web: <http://arl.cni.org/index.html>
ARL Gopher: <gopher://arl.cni.org/>
The ARL Server offers the research library community relevant information with contributions from all programmatic areas of the ARL.

- Links to the text of the majority and dissenting opinions in the MDS decision as well as an analysis of the case by Kenny Crews appear in the Copyright and Intellectual Property area <http://arl.cni.org/scomm/copyright/copyright.html>.

- Monthly updates to the Federal Relations Notebook <gopher://arl.cni.org:70/11/info/frn> contain current analysis of legislation affecting copyright, funding and other library related issues.

- The ARL Career Resource <http://arl.cni.org/careers/vacancy.html> has position announcements from ARL member libraries.

- ARL is working with the University of California-Berkeley Digital Library SunSITE to make available proceedings from ARL meetings <http://sunsite.berkeley.edu/ARL/index.html>. Some papers from the 1995 fall meeting can also be found at <http://arl.cni.org/arl/proceedings/127/127prog.html>.

- The ARL Preservation Program has a new page <http://arl.cni.org/preserv/preserv.html>, with information about ARL Preservation activities as well as links to other sites.

- The Statistics and Measurement Program offers a redesigned interactive website to access ARL statistics <http://www.lib.virginia.edu/socsci/arl/test-arl/>.

- Plans are underway to update the ARL Publications Catalog <http://arl.cni.org/pubs/pubscat.html> on the Web.

Management of ARL Electronic Discussion Groups. Through CNI's Systems Operator, Craig Summerhill, ARL is running the majority of its lists with the 7.2 release of the CREN ListProcessor software. Over forty electronic discussion groups sponsored by ARL continue to offer ARL committees and other working groups the ability to communicate between meetings. In addition to these private lists, ARL also offers several public lists, including ARL-ERESERVES, and ARL-ANNOUNCE. ARL has added three new lists since last fall, including a one-way announcement list for ARL SPEC Liaisons.

Installation and Configuration of New Hardware, Software and Upgrades. ARL continues to support the Macintosh platform with the acquisition of five more Power Macintosh computers in late 1995 and early 1996. Statistics, Training, and OMS Information Services each acquired a desktop computer and Training also purchased two PowerBooks. Each computer was installed with a full complement of current software. In addition to this substantial hardware upgrade, recent revisions to application, network and operating system software were installed throughout the office. The purchase of new equipment, once again, allowed other staff to benefit by receiving the older computers. A fourth laser printer was purchased for the Communications staff area of the office. This now gives each staff member access to a printer within a few feet of their workstation.

Technology Support for ARL Staff. The Electronic Services Coordinator responds to individual needs for technical support throughout the office. The wide range of support issues includes working with particular software applications and trouble-shooting hardware malfunctions. As ARL continues to enhance and refine its technical capabilities, user support is a critical need. To create greater self-sufficiency among computer users, more emphasis will be placed on staff training in the coming months.

ARL Technology Team. Kathryn Deiss was added to the Technology Team in October and participated in a review and analysis of the 1995 Strategic Plan. The Plan was updated in early 1996. The Technology Team is developing a framework for staff computer training and will work with the Electronic Services Coordinator to implement training. A draft computer policy was developed to address issues of computer security and usage.

Conferences Attended by Electronic Services Coordinator:

-Library Management Skills Institute I: The Manager; Washington, DC; January 1996
-Computers in Libraries; Washington, DC; February 1996
-Digital Libraries '96; Bethesda, MD; March 1996

6.3 ARL Membership Meetings

The ARL membership meeting capability is designed to develop programs on topics of interest to the ARL membership, schedule and manage meetings and activities, coordinate local arrangements, and evaluate the success of these meetings. The May meeting emphasizes a topical program, coordinated by the ARL President; the October meeting focuses on internal finances, elections, and strategic planning.

Summary of Activities
October 1995 meeting
The fall membership meeting sessions explored the theme "Building Partnerships that Shape the Future."

May 1996 meeting
The site of the May 1996 meeting is Vancouver, British Columbia, hosted by the University of British Columbia. The program theme is "Leading the Agile Library Organization" and was developed in collaboration with the Canadian Association of Research Libraries.

Some papers from the May 1995 meeting held in Boston are available on the ARL Server <http://arl.cni.org>.

6.4 International Relations

The International Relations capability is designed to monitor activities, maintain selected contacts, identify developments on issues of importance to North American research libraries, and share the experiences of North American research libraries that may contribute to the development of research libraries internationally. This capability draws on staff and projects across several ARL programs.

As with Scholarly Relations, International Relations represents a capability that is manifested by activities in several separate program areas rather than through a consolidated office.

Jutta Reed-Scott represents ARL to the National Coordinating Committee on Japanese Library Resources. The Committee's mission is "to mobilize the resources of information providers, information users, and funding organizations toward the long-range goal of creating a comprehensive national system of cooperative collection, development, and ready access to Japanese information in as wide a range of fields as possible for all current and potential users in North America."

Prue Adler served as the ARL representative on the Department of State Advisory Panel on International Copyright, Advisory Committee on International Intellectual Property, addressing GATT, the WIPO Copyright Program, and related issues.

The ARL Office of Research and Development is involved with international analyses and collaborations, including projects on foreign publications and Latin American Studies and the German and Japanese Research Resources projects that are in the planning stage. Also in the planning stage is a symposium that will partner with ACLS to examine the issues related to the adequacy of library and information resources to support internationally-connected scholarship in the United States and abroad.

An invitation by the U.S. Associations to IFLA to hold the General Conference of 2001 in the U.S. was accepted by the IFLA Steering Committee. The 1996 IFLA General Conference will be held in Beijing, China on August 20-26, 1996. Currently, 57 ARL directors participate in IFLA committees.

6.5 General Administration

General Administration encompasses overall coordination and management of the Association, staffing, financial planning and strategy, space planning, fiscal control, secretarial support, and office operations.

1.) *Financial Status as of December 1995.* The 1995 ARL Budget approved by the Board presented a balanced fiscal plan for the Executive Office which included revenue of $1,956,650 and expenditures of $1,953,800. The year-end financial report prepared by G.P. Graham indicates the Executive Office was close to the target for expenditures ($1,840,000) and revenue ($1,886,000). Due to extraordinary expenditures in support of the Shared Legal Capability and copyright-related activities, a smaller than anticipated ($40,000 rather than $60,000) contribution to the Board-designated Reserve Fund was accomplished. The Office of Research and Development achieved a small surplus. The Office of Management Services ended the year with a deficit.

The disappointing financial performance of the OMS was a topic of discussion for the ARL Executive Committee, the ARL Board of Directors, and the ARL Committee on the Management of Library Resources. A five-year business plan addressing the financial concerns is being developed.

The audit of 1995 fiscal activities was conducted by Meyer and Associates during the first quarter of 1996 and will include invoices/payments not recorded as of 1/19/96. The audited financial report will be available for the May Board and membership meetings and will be published as part of the membership meeting proceedings.

2.) *ARL 1996 Financial Strategy.* The ARL membership approved a dues increase for 1996 of $500, for a total of $13,850 per institution. The dues increase provides total dues revenue in 1996 of $1,648,150. The 1996 ARL budget for the Executive Office approved by the Board in February 1996 embraces an expenditures level of $2,097,800. The budget for revenue is $2, 072,800. A budgeted allocation of $60,000 to the Board permanent reserve is included. The total expenditures budgeted for combined Executive Office, Office of Management Services, and the Office of Research and Development is $3,370,000.

3.) *Personnel Resources.* Important changes took place with ARL staff since the October 1995 membership meeting.

- Mary Case was recruited to join ARL as Director of the renamed Office of Scholarly Communication, effective June 1, 1996.
- Jutta Reed-Scott, Kriza Jennings, and Susan Jurow announced plans to retire/resign from ARL during 1996.
- Nichelle Millings, Publications Clerk, left ARL in March.

To clarify the distribution of membership dues within OMS, program budgets and programmatic teams were developed similar to those currently in use in the ARL Executive Office.

4.) *Electronic Communications and Technology.* See Section 6.2.2

Section 7 Research and Development

7.1 Office of Research and Development

The ARL Office of Research and Development (ORD) consolidates the administration of grants and grant-supported projects administered by ARL. The major goal within this capability is to identify and match ARL projects that support the research library community's mission with sources of external funding. The ARL Visiting Program Officer project is also a part of this capability.

Summary of Activities
Descriptions of individual project activities appear on the following pages.

- *Proposals submitted and pending*
    German Demonstration Project
    Measuring the Quality of Library Services
    The Character and Nature of Research Library Investments in Electronic Resources

- *Projects under development*
    Cost Models for Preservation Decision Making
    The Endangered Monograph
    Skill Sets for the 21st Century

- *Ongoing project activities in 1996*
    NRMM RECON: Serials and Musical Scores
    Latin Americanist Research Resources Project
    Streamlining Network ILL/DD Requests for Users & Libraries
    Japan Journal Access Project
    Copyright Education Initiative
    ILL/DD Cost and Performance Measures
    National Initiative for a Networked Cultural Heritage

- *Projects Completed*
    Scholarship, Research Libraries, and Foreign Publishing in the 1990's (completed 12/95)
    Preservation Microfilming Guide: Preparation of a 2nd Edition (completed 12/95)

Summary of ARL Grant-Funded Activities: October 1995 - April 1996
The Office of R&D was established to provide the Association with a point of coordination for grant-seeking activity and idea management. The ORD provides a consolidated picture of ARL activities that are operated with "soft" funds. All ARL program officers play roles in the development of project concepts and funding contacts.

Proposals Submitted and Pending:
1.) *German Demonstration Project.* A Working Group has developed a workplan and implementation strategy for a project to demonstrate a network-based program of coordinated collections and delivery services for German social science library resources. The Library of Congress has agreed to provide operational support for the project. A proposal for funding initial project planning and start-up was submitted. (Contact: Jutta Reed-Scott)

2.) *Measuring the Quality of Library Services.* The Statistics & Measurements Program is collaborating with Danuta Nitecki, University of Maryland, on a project to explore the applicability of the SERVQUAL instrument as a reliable diagnostic tool to measure customer criteria for service quality. Library services under consideration for the project scope are: reference, circulation and/or reserve, ILL, bibliographic instruction, and electronic services. Dr. Nitecki prepared a proposal that was submitted to the Council on Library Resources in April 1996. If funded, Dr. Nitecki will be the principal investigator as a Visiting Program Officer; ARL will play an advisory role (via the Committee on Statistics and Measurement) and contribute technical support for a survey of approximately nine libraries. (Contact: Martha Kyrillidou)

3.) *The Character and Nature of Research Library Investments in Electronic Resources.* The Statistics and Measurement Program submitted a proposal to the Council on Library Resources to support a review and assessment of the three years of ARL supplementary survey data about research library expenditures for electronic resources. The goal is to identify options for more meaningful and credible measures about the nature and character of research library investments in electronic resources. (Contacts: Martha Kyrillidou, Jaia Barrett)

Projects under Development:
1.) *Cost Models for Preservation Decision Making.* ARL's Preservation agenda calls for a cost model to compare the cost effectiveness of various strategies for preserving collections. Strategies to be embraced include all options, from conservation of the artifact to reformatting (including digitization) within the context of collection use, condition, and value. A proposal will be developed to engage a consultant to develop a feasible methodology. (Contact: Jutta Reed-Scott)

2.) *The Endangered Monograph.* ARL and the American Historical Association (AHA) began discussions in January to develop a project to design and test the functionality of an electronic database of monographic literature important for teaching and research in historical studies. The goal is to identify strategies to publish and disseminate monographic literature that is more cost-effective than the traditional print model is for readers, publishers, and libraries. Targeted material are out-of-print books that are in demand and new monographs that would be produced in short print runs.

Partners envisioned for the project include three or four university presses, about 10 associations affiliated with AHA, and ARL libraries with a preservation program. A project proposal will be developed this spring. (Contacts: Jaia Barrett and Duane Webster)

3.) *Skill Sets for the 21st Century.* ARL is preparing a proposal to develop a set of programs to address technology training needs for librarians in academic and research libraries. The focus will be on technical skills required for library innovations and on building effective mechanisms for assimilating those technologies. (Contacts: Susan Jurow and Duane Webster)

Ongoing Funded Projects

1. *National Register of Microform Masters (NRMM) RECON Project: Serials and Musical Scores.* Over the past two years, ARL has managed a cooperative project for creating more than 22,000 online serials records for National Register of Microform Masters (NRMM) from three major research libraries: Harvard University, the Library of Congress, and the New York Public Library. ARL used the OCLC Conversion Services to produce the records. This project is the continuation of a complex, multi-year effort to provide online access to more than half a million bibliographic records for preservation microform masters. The project is funded by a grant from the National Endowment for the Humanities, Division of Preservation and Access, as well as from contributions by the project participants. One central project goal was the inclusion of the converted NRMM serials reports in the CONSER database to ensure that the newly converted records follow a set of national policies and procedures and will be widely available. Started in January 1994, the serials portion of the project was completed in February 1996.

Since the number of serials records produced was smaller than the number estimated in the grant proposal, ARL received permission from NEH to use the remaining project funds for non-serial NRMM reports. In April 1996, ARL contracted with the OCLC Conversion Services to create machine-readable records for approximately 7,200 NRMM reports for musical scores. This project component is scheduled to conclude in October 1996. (Contact: Jutta Reed-Scott)

In cooperation with the Library of Congress and New York Public Library, ARL developed a project to create machine-readable records for approximately 16,000 not yet processed reports in the NRMM Master File, including non-Roman and other remaining problem reports. In June 1995, ARL submitted a proposal to the National Endowment for the Humanities' Division of Preservation and Access. NEH has unofficially notified ARL that this final component of the NRMM conversion effort will be funded.

2. *Latin American Research Resources Project.* The aim of the project is to make available a broader array of resources to Latin American students and scholars, to restructure access to these collections on a comprehensive scale, and to assist research libraries in containing costs (see Section 1.4 of this report for project activities update). The start-up Project funding was received from The Andrew W. Mellon Foundation and thirty-two participating ARL Libraries. In October 1995, the Mellon Foundation awarded ARL a $125,000 grant for the second phase of the project. (Contact Jutta Reed-Scott)

3. *Streamlining Network ILL/DD Requests for Users & Libraries.* In November 1995, OCLC agreed to collaborate with the NAILDD Project to build a standards-based linkage between the AAU/ARL Table of Contents Database, located at UT-LANIC, and the OCLC ILL messaging system. The linkage was operational in March and allows network users to initiate an ILL/DD request for an article cited in the database and have it forwarded into the online system of the holding library and, if desired, into the system of the user's home library for user authentication. Lessons from this application will be applied to other databases, other ILL messaging systems, and sets of libraries. As part of its contribution to the scaling up the AAU/ARL demonstration projects, OCLC has agreed to supply the same kind of system linkages for up to a dozen additional databases. (Contacts: Jutta Reed-Scott and Mary Jackson)

4. *Japan Journal Access Project.* The goal of the Japan Project was broadened to demonstrate a network-based program that improves North American access to Japanese journal literature in all disciplines. Without minimizing the importance of improved access to scientific and technical information, the expansion in scope is the result in part of the interest and support of the National Coordinating Committee on Japanese Library Resources, and in part at the urging of the AAU/ARL Steering Committee that the foreign acquisitions projects be scaled up as quickly as possible. The Center for Research Libraries provides operational support for the project; OCLC continues to provide support for Dorothy Gregor, who serves as Project Coordinator; and Ohio State University Library maintains project files as part of the East Asian Libraries Cooperative WWW site. (Contacts: Jutta Reed-Scott, Jaia Barrett)

5. *Copyright Education Initiative.* The H.W. Wilson Foundation awarded ARL funding to develop an educational initiative on copyright compliance. The proposal includes development of three training workbooks (for ILL/DD, reserves, and preservation offices) to assist library managers in designing operations and train staff in procedures that comply with copyright law and related guidelines. The proposal also includes funding to sponsor a series of workshops for librarians who have a training or spokesperson role in copyright compliance. The initial workshop was held in the fall of 1995. The schedule for 1996 includes at least two more workshops for U.S. librarians (April 26-27 in Washington, DC; September 19-20 in Seattle). In addition, in collaboration with CARL and the Association of Universities and Colleges of Canada, ARL is developing a workshop for Canadian educational institutions (October 3-4 in Ottawa). (Contacts: Jaia Barrett and Mary Jackson)

6. *ILL/DD Cost and Performance Measures.* In June 1995, the Andrew W. Mellon Foundation awarded ARL $160,000 to conduct an ILL/DD Performance Measures Project. This cooperative project, developed with Martin Cummings of the Council on Library Resources, will study the cost and performance of interlibrary loan and document delivery services. Phase 1 of this 24-month study began in the summer of 1995 and is designed as a follow-up to the 1992 ARL/RLG ILL Cost Study, and as an expansion of the survey instrument used in that study. Phase 2, expected to begin summer of 1996, will offer the expanded instrument to ARL members and other academic libraries. (Contact: Mary Jackson)

7. *Shared Legal Capability.* ARL organized and manages a fund for legal expertise on intellectual property and the NII. The American Library Association, the American Association of Law Libraries, the Medical Library Association, and the Special Libraries Association have each contributed or pledged $25,000 toward this fund in 1996. (Contacts: Duane Webster and Prue Adler)

8. *NINCH.* The Gladys Kreible Delmas Foundation awarded ARL $10,000 to join the National Initiative for a Networked Cultural Heritage (NINCH). The initiative seeks to encourage the development of the NII as a means to preserve, access, and creatively build on our cultural legacy. (Contact: Duane Webster)

Completed Funded Projects
1. *Scholarship, Research Libraries, and Foreign Publishing in the 1990's.* In December 1995, ARL concluded a four-year study of trends in global resources in ARL member libraries. Support for the project was provided by The Andrew W. Mellon Foundation. ARL published the final project report in March 1996. The report builds on the detailed analysis of area-specific needs that was undertaken by major foreign area library committees over the course of this project. The array of studies provides persuasive evidence of the growing gap between the level of acquisitions of overseas materials and the explosion of global knowledge. The report describes the current landscape of foreign area collections. It also details initiatives being pursued by ARL and many other organizations to develop effective strategies and financial resources to maintain foreign acquisitions at a level adequate to North American needs. A plan to advance these strategies will be discussed in May at the ARL Business Meeting.

2. *Preparation of Second Edition of Preservation Microfilming Guide.* The new edition of *Preservation Microfilming: A Guide for Librarians and Archivists* has been published by the American Library Association. In late November 1993, OCLC awarded ARL a $8,000 grant in partial support for the preparation of the second edition of the *Guide*. Working with ALA Publishing, ARL coordinated the revision of the *Guide*.

7.1.1 ARL Visiting Program Officer Program

The ARL Visiting Program Officer (VPO) Program provides an opportunity for a staff member from a member library to assume responsibility for carrying out part or all of a project for ARL. It provides a very visible staff development opportunity for an outstanding staff member and serves the membership as a whole by extending the capacity of ARL to undertake additional activities.

Typically, the member library supports the salary of the staff person, and ARL seeks grant funding to cover travel or other project-related expenses. Depending on the nature of the project and the circumstances of the individual, a VPO may spend extended periods of time in Washington, DC, or may conduct most of their project from their home library. In either case, contact with ARL staff and a presence in the ARL offices is encouraged, as this has proved to be mutually beneficial for both the VPO and for ARL.

Since the program's beginning in 1988, 21 member libraries have sponsored a VPO. Between October 1995 and April 1996, these included:

- Brigham Young University: Mark Grover, to serve as Project Coordinator for the ARL/AAU Latin American Demonstration Project with Jutta Reed-Scott.
- Louisiana State University: Stanley Wilder, to study, with Martha Kyrillidou, the demographic characteristics of library professionals by comparing 1990 salary data to 1994 salary data.
- University of Virginia: Kendon Stubbs, to develop, with Martha Kyrillidou, a manual and design a workshop on how libraries could measure user satisfaction and quality service.
- York University: Toni Olshen, to develop, with Kriza Jennings, organizational and programmatic responses to diversity in Canadian libraries and universities.

VPO Opportunities for 1996+
In collaboration with Martha Kyrillidou and the Statistics and Measurements Committee, the University of Maryland's Danuta Nitecki has developed a proposal for the Council on Library Resources to fund a project with ARL to explore the applicability of the SERVQUAL instrument as a reliable diagnostic tool to measure customer criteria for service quality. If funded, Dr. Nitecki will undertake the project as a Visiting Program Officer.

Additional issues where VPO contributions would be particularly welcome in 1996 include: a definition of the nature and character of research library investments in electronic resources; a survey of library facilities; development of a web form for data collection over the Internet (see Martha Kyrillidou); and an assessments of the costs of providing information services and resources via a network (see Prue Adler). Directors who wish to discuss a Visiting Program Officer candidate should contact Jaia Barrett.

APPENDIX V

ASSOCIATION OF RESEARCH LIBRARIES
WASHINGTON, D.C.
AUDITED FINANCIAL STATEMENTS
FOR THE YEAR ENDED DECEMBER 31, 1995

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MEYER & ASSOCIATES
A Professional Corporation
Certified Public Accountants

ASSOCIATION OF RESEARCH LIBRARIES
FINANCIAL STATEMENTS
FOR THE YEAR ENDED DECEMBER 31, 1995

CONTENTS

ACCOUNTANT'S REPORT 196

FINANCIAL STATEMENTS

Statement of Financial Position 197
Statements of Activities 198
Statement of Cash Flows 202
Notes of Financial Statements 203

SUPPLEMENTARY INFORMATION

Statements of Functional Income and Expenses 210

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INDEPENDENT AUDITORS' REPORT

Board of Directors
Association of Research Libraries
21 Dupont Circle
Washington, DC 20036

We have audited the accompanying statement of financial position of the Association of Research Libraries as of December 31, 1995, and the related statements of activities and cash flows for the year then ended. These financial statements are the responsibility of the Association's management. Our responsibility is to express an opinion on these financial statements based on our audit.

We conducted our audit in accordance with generally accepted auditing standards. Those standards require that we plan and perform the audits to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statements presentation. We believe that our audit provide a reasonable basis for our opinion.

As discussed in Note 1 to the financial statements, in 1995 the Association changed its method of accounting for contributions and its method of financial reporting and financial statement presentation.

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of Association of Research Libraries as of December 31, 1995, and the changes in its net assets and its cash flows for the year then ended in conformity with generally accepted accounting principles.

MEYER & ASSOCIATES
Meyer & Associates
A Professional Corporation
Certified Public Accountants

March 10, 1996

ASSOCIATION OF RESEARCH LIBRARIES
STATEMENT OF FINANCIAL POSITION
DECEMBER 31, 1995

	GENERAL OPERATING FUND	OFFICE OF MANAGEMENT SERVICES	COALITION FOR NETWORKED INFORMATION	TOTAL
ASSETS				
Current assets				
Cash and cash equivalents	$ 1,009,221		$ 560,353	$ 1,569,574
Investments	879,801		120,923	1,000,724
Accounts receivable	26,631	100,541		127,172
Due to <from>	403,245	(226,547)	(176,697)	0
Prepaid expenses	39,263		20,380	59,643
Inventory	4,900	2,090		6,990
Other assets	3,470	-	-	3,470
Total current assets	2,366,530	(123,916)	524,958	2,767,573
Property and equipment, net	410,564	13,066	43,773	467,403
TOTAL ASSETS	$ 2,777,094	$ (110,850)	$ 568,731	$ 3,234,976
LIABILITIES AND NET ASSETS				
Current liabilites				
Accounts payable and accrued expenses	$ 78,401			$ 78,401
Deferred revenues	1,360,413			1,360,413
Current portion of long-term debt	25,227	-	-	25,227
Total current liabilities	1,464,041			1,464,041
Other liabilities				
Accrued lease discount	234,522			234,522
Long-term debt	15,478	-	-	15,478
Total liabilities	1,714,040	-	-	1,714,040
Net assets				
Unrestricted	339,200	(110,850)	492,050	720,401
Unrestricted-board designated reserve	398,936		76,681	475,617
Temporarily restricted	324,917	-	-	324,917
Total net assets	1,063,053	(110,850)	568,731	1,520,935
TOTAL LIABILITIES AND NET ASSETS	$ 2,777,094	$ (110,850)	$ 568,731	$ 3,234,976

The accompanying notes are an integral part of these financial statements.

ASSOCIATION OF RESEARCH LIBRARIES
STATEMENT OF ACTIVITIES
YEAR ENDED DECEMBER 31, 1995

	GENERAL OPERATING FUND	OFFICE OF MANAGEMENT SERVICES	COALITION FOR NETWORKED INFORMATION	TOTAL
CHANGES IN UNRESTRICTED NET ASSETS				
Revenues				
Grants and contracts	$ 9,800		4,005	$ 13,805
Dues	1,435,770	152,880	906,625	$ 2,495,275
Publication sales	181,012	151,072		332,084
Royalties	159			159
Consultation	19,875	114,569	900	135,344
Training	53,950	230,178		284,128
Investment income	75,244		34,743	109,987
Gain/loss on sale of assets	(24,463)		(16,627)	(41,090)
Cost recovery	242,230	37,538	8,728	288,497
Total unrestricted revenue	1,993,577	686,238	938,374	3,618,188
Net assets released from restrictions				
Satisfaction of program restrictions	483,970	-	-	483,970
Total unrestricted revenues & support	2,477,547	686,238	938,374	4,102,158
Expenditures				
General & administrative	716,577	105,399	326,622	1,148,598
Programs	1,121,016	631,439	524,625	2,277,080
Research & development-unrestricted	96,991	-	-	96,991
	1,934,584	736,838	851,247	3,522,669

The accompanying notes are an integral part of these financial statements.

Meyer & Associates A Professional Corporation
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ASSOCIATION OF RESEARCH LIBRARIES
STATEMENT OF ACTIVITIES
YEAR ENDED DECEMBER 31, 1995

	GENERAL OPERATING FUND	OFFICE OF MANAGEMENT SERVICES	COALITION FOR NETWORKED INFORMATION	TOTAL
Expenditures (continued)				
Research & development-restricted	483,970	-	-	483,970
	2,418,554	736,838	851,247	4,006,639
Increase (decrease) unrestricted operations	58,993	(50,600)	87,127	95,519
CHANGES IN TEMPORARY RESTRICTED NET ASSETS				
Grants & contracts	671,677			671,677
Training	22,500			22,500
Investment income	5,260			5,260
Cost recovery	11,710			11,710
Net assets released from restrictions	(483,970)	-	-	(483,970)
Increase in temporarily restricted net assets	227,177			227,177
Cumulative effect on prior years of a change in accounting principle (see notes 1 and 4)	97,740			97,740
Increase in temporarily restricted net assets	324,917			324,917
INCREASE IN NET ASSETS	383,910	(50,600)	87,127	420,436

The accompanying notes are an integral part of these financial statements.

ASSOCIATION OF RESEARCH LIBRARIES
STATEMENT OF ACTIVITIES
YEAR ENDED DECEMBER 31, 1995

	GENERAL OPERATING FUND	OFFICE OF MANAGEMENT SERVICES	COALITION FOR NETWORKED INFORMATION	TOTAL
NET ASSETS AT BEGINNING OF YEAR				
Unrestricted net assets	361,510	(60,250)	456,604	757,864
Unrestricted net assets - board designated reserve	317,634	-	25,000	342,634
	679,144	(60,250)	481,604	1,100,498
NET ASSETS AT END OF YEAR				
Unrestricted net assets (note 7)	339,200	(110,850)	492,050	720,401
Unrestricted net assets - board designated reserve	398,936		76,681	475,617
Temporarily restricted net assets	324,917	-	-	324,917
	$ 1,063,053	$ (110,850)	$ 568,731	$ 1,520,935

The accompanying notes are an integral part of these financial statements.

ASSOCIATION OF RESEARCH LIBRARIES
STATEMENT OF CASH FLOWS
YEAR ENDED DECEMBER 31, 1995

CASH FLOWS FROM OPERATING ACTIVITIES	
Changes in net assets	$ 366,500
Adjustments to reconcile change in net assets to net cash used by operating activities:	
Depreciation	117,839
Increase in accounts and interest receivable	(29,941)
Increase in inventories and prepaid expenses	(17,876)
Increase in accounts payable	(54,812)
Increase in deferred revenue	9,780
Increase in short-term borrowings	(296,322)
Net Cash Provided by Operating Activities	95,168
CASH FLOWS FROM INVESTING ACTIVITIES	
Purchase of equipment	(66,741)
Proceeds from sales of investments	1,383,285
Net Cash Provided by Investing Activities	1,316,544
CASH FLOWS FROM FINANCING ACTIVITIES	
Payment on long-term debt	(20,548)
Increase in accrued lease discount	5,436
Net Cash Used by Financing Activities	(15,112)
NET INCREASE IN CASH AND CASH EQUIVALENTS	1,396,600
CASH AND CASH EQUIVALENTS AT BEGINNING OF YEAR	172,974
CASH AND CASH EQUIVALENTS AT BEGINNING OF YEAR	$1,569,574

The accompanying notes are an integral part of these financial statements.

ASSOCIATION OF RESEARCH LIBRARIES
NOTES TO THE FINANCIAL STATEMENTS
DECEMBER 31, 1995

1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES

Nature of activities

The Association of Research Libraries is a non-profit educational organization comprised of the major research libraries in the United States and Canada. The purpose of the Association is to initiate and develop plans for strengthening research library resources and services in support of higher education and research. As part of its activities, the Association also operates the Office of Management Services.

The Office of Management Services was established by the Association in 1970. The Office conducts research into organizational problems of research libraries, develops new management techniques, and offers information services and training.

The Coalition for Networked Information was established on March 16, 1990. The Coalition's purpose is to promote the creation of and access to information resources in networked environments in order to enrich scholarship and to enhance intellectual productivity.

Basis of accounting

The Association's financial statements are reported on the accrual basis, with the exception of the Office of Management Services' Publication Program, which is reported on the cash basis.

Basis of presentation

Financial statement presentation follows the recommendation of the Financial Accounting Standards Board in its Statement of Financial Accounting Standards (SFAS) No. 117, *Financial Statements of Not-for-Profit Organizations.* Under SFAS No. 117, the Association is required to report information regarding its financial position and activities according to three classes of net assets: unrestricted net assets, temporarily restricted net assets, and permanently restricted net assets.

Restricted and unrestricted revenue and support

In accordance with the provisions of SFAS No. 116, *Accounting for Contributions Received and Contributions Made,* contribution received, if any, are recorded as unrestricted, temporarily restricted, or permanently restricted support depending on the existence and nature of any donor restrictions.

Cash and cash equivalents

For the purposes of the Statement of Cash Flows, the Association considers all unrestricted highly liquid investments with an initial maturity of three months or less to be cash equivalents.

ASSOCIATION OF RESEARCH LIBRARIES
NOTES TO THE FINANCIAL STATEMENTS
DECEMBER 31, 1995

1. SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES (continued)

Furniture, equipment and depreciation

Furniture, equipment and leasehold improvements are recorded at cost. Depreciation of property and equipment is computed using the straight-line method based on the following estimated useful lives:

	Years
Computers	3-5
Equipment	5-10
Furniture	10
Leasehold	11

Expenditures for maintenance and repairs are charged to expense as incurred.

Income taxes

The Association is exempted from income taxes under Internal Revenue Code Section 501(c)(3) and applicable District of Columbia law.

Retirement plan

The Association has a retirement plan which covers substantially all full-time employees. Contributions to the plan are based on a percentage of salary for enrolled staff members. Total amounts paid in by the Association were $ 184,484 and $ 157,324 for 1995 and 1994, respectively.

ASSOCIATION OF RESEARCH LIBRARIES
NOTES TO THE FINANCIAL STATEMENTS
DECEMBER 31, 1995

2. INVESTMENT SECURITIES

The cost or amortized cost and fair values of investment securities are as follows:

GENERAL OPERATING FUND	COST	FAIR VALUE	UNREALIZED GAIN OR (LOSSES)
U.S. Treasury securities	$ 302,740	$ 345,430	$ 42,690
Amortized OID	38,915		(38,915)
Debt and mortgage backed securities			
Federal Natl Mtg Assn	37,394	35,647	(1,747)
Residential FDG Mtg Secs 1	299,252	266,250	(33,002)
GE Cap Mtg Svces, Inc.	201,500	183,704	(17,796)
	879,801	831,031	(48,769)
COALITION FOR NETWORKED INFORMATION			
Federal Natl Mtg Assn	120,923	115,755	(5,168)
	$ 1,000,724	$ 946,786	$ (53,937)

	GENERAL OPERATING FUND	COALITION FOR NETWORKED INFORMATION	TOTAL	ANTICIPATED ANNUAL INCOME
U.S. Treasury securities	$ 341,655		$ 341,655	$ 21,600
Debt and mortgage backed securities				
Federal Natl Mtg Assn	37,394	120,923	158,317	9,743
GE Cap Mtg Svces, Inc.	201,500		201,500	12,000
Residential FDG Mtg Secs	299,252	-	299,252	19,500
	$ 879.801	$ 120.923	$ 1.000.724	$ 62,843

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ASSOCIATION OF RESEARCH LIBRARIES
NOTES TO THE FINANCIAL STATEMENTS
DECEMBER 31, 1995

3. PROPERTY AND EQUIPMENT

Property and equipment at December 31, 1995, are summarized as follows by major classification:

	GENERAL OPERATING FUND	OFFICE OF MANAGEMENT SERVICES	COALITION FOR NETWORKED INFORMATION	TOTAL
Furniture and equipment	$ 423,953	$ 55,768	$ 110,862	$590,583
Library	2,347	21,820	-	24,167
Leasehold improvements	316,694	-	-	316,694
	742,995	77,588	110,862	931,445
Less: accumulated depreciation	(332,431)	(64,521)	(67,089)	(464,042)
Property and equipment, net	$ 410,564	$ 13,066	$ 43,773	$467,403

4. UNAPPLIED INCOME

Income received in advance and unearned as of December 31, 1995, is classified as follows:

Deferred 1996 ARL dues	$ 1,315,645
AAU Latin Americanist Pilot Project	23,157
NRMM Performance Bond	776
Foreign Aquisitions (Mellon)	1,748
Texaco - Phase II	4,087
IFLA 2001 Conference	15,000
	$ 1,360,413

As a result of the adoption of SFAS No. 116 in 1995, $97,740 of unapplied income from 1994 was recognized in 1995 as temporarily restricted income.

5. LONG-TERM DEBT

Long-term debt consists of a lease with Bell Atlantic-TriCon Leasing Corporation for a Xerox copier payable in monthly installments $2,102, with a buyout option, final payment September 27, 1997.

Maturity of long-term debt is as follows:

Year ending December 31, 1997	$15,478

6. LEASES

The Association is committed under an operating lease for its office space at 21 Dupont Circle. This lease contains escalation clauses covering the increased costs for real estate taxes and operating services. The rent was abated for the first eleven months of occupancy. The Association has elected to capitalize this savings and amortize it over the remaining ten years of the lease. Total rent and storage charges were $ 296,715 in 1995, and $247,521 in 1994.

The minimum rental commitments as follows has been reduced by approximately $568,000 of rent credits.

Year ending December 31,	
1996	239,635
1997	239,635
1998	239,635
1999	239,635
2000	239,635
2001 and later	150,905
	$1,349,080

ASSOCIATION OF RESEARCH LIBRARIES
NOTES TO THE FINANCIAL STATEMENTS
DECEMBER 31, 1995

7. BOARD DESIGNATED RESERVES

The Association's general operating fund has been reduced by $81,302, which includes the annual transfer of $60,000 into the board designated reserve. An additional $21,302 has been transferred which represents interest earned on the reserve account in 1995.

A similar transfer has been in the Coalition for Networked Information.

8. TEMPORARILY RESTRICTED NET ASSETS

Temporarily restricted net assets are available for the following purposes:

NINCH	$ 10,000
H.W. Wilson - Copyrigth Awareness	13,266
Copyright Collective	56,658
ILL/DD Performance Measures Project	127,707
AAU Latin Americanist Pilot Project II	117,286
	$324,917

9. NET ASSETS RELEASED FROM DONOR RESTRICTIONS

Net assets were released from donor restriction by incurring expenses satisfying the restricted purposes or by the occurrence of other events specified by donors. These releases, which total $483,970, are presented with all details on pages 16 and 17 in the additional information section of this report.

10. CONTINGENCIES

The Association's accounting practice regarding employee compensated absences has been to recognize the cost when paid rather than accruing over some period before payment. As a result of this practice, vested leave has been accumulating which is not reflected as an Association liability. This amount approximates $96,000 and has been primarily earned by the organization's Executive Director and Project Directors.

INDEPENDENT AUDITORS' REPORT ON ADDITIONAL INFORMATION

Board of Directors
Association of Research Libraries
21 Dupont Circle
Washington, D.C. 20036

Our report on our audit of the basic financial statements of Association of Research Libraries for 1995 appears on page one. We conducted our audit in accordance with generally accepted auditing standards for the purpose of forming an opinion on the basic financial statements taken as a whole. The additional information included on pages 13 through 20 is presented for purposes of additional analysis and is not a required part of the basic financial statements. Such information has been subjected to the auditing procedures applied in the audit of the basic financial statements and, in our opinion, is fairly stated in all material aspects in relation to the basic financial statements taken as a whole.

Meyer & Associates

MEYER & ASSOCIATES
A Professional Corporation
Certified Public Accountants

March 10, 1996

ASSOCIATION OF RESEARCH LIBRARIES
STATEMENT OF FUNCTIONAL INCOME AND EXPENSES
YEAR ENDED DECEMBER 31, 1995

GENERAL OPERATING FUND
UNRESTRICTED

	GENERAL & ADMINISTRATIVE	STATISTICS	OFFICE OF SCIENTIFIC & ACADEMIC	COMMUNICATION	MEMBERSHIP MEETINGS	GOVERNANCE	FEDERAL RELATIONS & POLICY	COPYRIGHT
REVENUES								
Dues	$ 466,270	$ 93,000	$ 122,900	$110,700	$125,500	$141,000	$ 65,000	$ 61,000
Publication sales		40,239	112,693	16,127	4,920		122	1,245
Consultation		425						
Royalties		159						
Training								
Grants & contracts		6,600						
Investment income	75,244							
Gain (loss) on asset sales	(24,463)							
Cost recovery	196,990	371	9,852	-	1,156	1000	3,188	750
Total unrestricted revenue	714,042	140,794	245,445	126,827	131,576	142,000	68,310	62,995
EXPENDITURES								
Employee costs	232,462	69,389	124,039	75,175	47,890	68,855	60,966	54,970
Professional services	46,538	10,412	24,496	1,000	2,074			14,877
Travel and meetings	9,535	14,157	28,613	15,464	52,502	26,121	11,161	1,710
Communications	21,078	7,958	17,253	6,261	6,045	2,331	1,666	2,373
Publications	-	16,702	33,415	26,417	8,941		15	867
Office operations	174,977	9,787	3,088	2,469	2,397	3,453	8,357	1,680
Rent	234,139							
Special allocations	(2,151)	-	-	-	-	-	-	-
Total unrestricted expenditures	716,577	128,405	230,903	126,787	119,848	100,760	82,166	76,476
Excess revenues (expenditures)	$ (2,535)	$ 12,390	$ 14,541	$ 40	$ 11,728	$ 41,240	$ (13,855)	$ (13,481)

The accompanying notes are an integral part of these financial statements.

ASSOCIATION OF RESEARCH LIBRARIES
STATEMENT OF FUNCTIONAL INCOME AND EXPENSES
YEAR ENDED DECEMBER 31, 1995

GENERAL OPERATING FUND
UNRESTRICTED

	COLLECTION SERVICES	ACCESS & TECHNOLOGY	ECONOMICS CONFERENCE	INT'L RELATIONS	MINORITY RECRUIT	RESEARCH & DEVELOPMENT	TOTAL
REVENUES							
Dues	$ 55,000	$ 75,300		$ 20,300	$ 45,000	$ 54,800	$1,435,770
Publication sales	4,983	593				90	181,012
Consultation		2,000				17,450	19,875
Royalties							159
Training			48,950			5,000	53,950
Grants & contracts						3,200	9,800
Investment income							75,244
Gain (loss) on asset sales							(24,463)
Cost recovery	-	4,102	4,841	-	-	19,980	242,230
Total unrestricted revenue	59,983	81,995	53,791	20,300	45,000	100,520	1,993,577
EXPENDITURES							
Employee costs	55,895	36,905	7,190	7,814	42,902	61,425	945,875
Professional services	161	4,605	12,033			4	116,198
Travel and meetings	6,857	10,181	34,157	8,358	6,259	24,990	250,065
Communications	1,287	2,169	307	171	916	1,946	71,761
Publications	3,618	1,051		450	142	42	91,660
Office operations	407	5,036	428	4,220	1,454	2,388	220,141
Rent	700					6,196	241,035
Special allocations	-	-	-	-	-	-	(2,151)
Total unrestricted expenditures	68,925	59,947	54,116	21,012	51,672	96,991	1,934,584
Excess revenues (expenditures)	$ (8,942)	$ 22,048	$ (325)	$ (712)	$ (6,672)	$ 3,529	$ 58,993

The accompanying notes are an integral part of these financial statements.

ASSOCIATION OF RESEARCH LIBRARIES
STATEMENT OF FUNCTIONAL INCOME AND EXPENSES
YEAR ENDED DECEMBER 31, 1995

RESEARCH & DEVELOPMENT
TEMPORARILY RESTRICTED

	TEXACO	NRMM BOND	NEH NRMM SERIALS	NINCH	H.W.WILSON COPYRIGHT	COPYRIGHT COLLECTIVE	FOREIGN CQUISITION (MELLON)	MICROFILM GUIDE
REVENUES								
Training					$ 22,500			
Grants & contracts	11,669	6,114	253,004	10,000	10,000	67,631	30,774	4,019
Investment income		178					1,062	
Cost recovery	-	-	-	-	-	11,063	434	-
Total temporarily restricted	11,669	6,292	253,004	10,000	32,500	78,695	32,269	4,019
EXPENDITURES								
Employee costs	141	5,547	13,730		1,146	411	24,794	1,032
Professional services	11,504	-	236,606		3,750	21,132	500	3,855
Travel and meetings		-			12,310	24	4,967	7
Communications	23	133	210		89	434	742	300
Publications					1,358		140	18
Office operations	0	612	308		582	35	1,126	(1,193)
Special allocations	-	-	2,151	-	-	-	-	-
Total temporarily restricted	11,669	6,292	253,004	-	19,234	22,036	32,269	4,019
Excess revenues (expenditures)	$ -	$ -	$ -	$ 10,000	$ 13,266	$ 56,659	$ -	$ -

The accompanying notes are an integral part of these financial statements.

ASSOCIATION OF RESEARCH LIBRARIES
STATEMENT OF FUNCTIONAL INCOME AND EXPENSES
YEAR ENDED DECEMBER 31, 1995

RESEARCH & DEVELOPMENT
TEMPORARILY RESTRICTED

	ILL/DD PERFORMANCE MEASURES (MELLON)	AAU LATIN AMERICANIST PILOT (MELLON)	AAU LATIN AMERICANIST PILOT	AAU LATIN MERICANIST PHASE II (MELLON)	TOTAL
REVENUES					
Training					$ 22,500
Grants & contracts	160,000	18,567	72,638	125,000	769,417
Investment income	4,021				5,260
Cost recovery	214	-	-	-	11,710
Total temporarily restricted	164,234	18,567	72,638	125,000	808,888
EXPENDITURES					
Employee costs	21,816	4,441	12,308	1,443	86,808
Professional services	10,000	1,630	50,515		339,492
Travel and meetings	4,346	11,397	1,281	6,179	40,511
Communications	133	1,038	359	61	3,523
Publications			2,325		3,841
Office operations	233	61	5,849	31	7,645
Special allocations	-	-	-	-	2,151
Total temporarily restricted	36,527	18,567	72,638	7,714	483,970
Excess revenues (expenditures)	$ 127,707	$ -	$ -	$ 117,286	$324,917

The accompanying notes are an integral part of these financial statements.

ASSOCIATION OF RESEARCH LIBRARIES
STATEMENT OF FUNCTIONAL INCOME AND EXPENSES
YEAR ENDED DECEMBER 31, 1995

OFFICE OF MANAGEMENT SERVICES
UNRESTRICTED

	GENERAL & ADMINISTRATIVE	TRAINING	INFORMATION SERVICES	DIVERSITY	ORGANIZATION DEVELOPMENT	TOTAL
REVENUES						
Dues	$ 72,880	$ 60,000		20,000		$152,880
Publication sales			151,072			$151,072
Consultation		10,000		13,425	91,144	$114,569
Training		227,953		2,225		230,178
Cost recovery	-	8,028	-	9,238	20,273	37,538
Total unrestricted revenue	72,880	305,981	151,072	44,888	111,417	686,238
EXPENDITURES						
Employee costs	51,001	147,457	74,082	37,972	56,148	366,661
Professional services	5,828	55,165	10,848		10,800	82,641
Travel and meetings	23,866	83,722	319	12,817	35,346	156,070
Communications	2,633	12,452	13,905	4,694	2,007	35,691
Publications		5,368	39,597	166	44	45,175
Office operations	22,072	24,340	1,775	1,317	1,097	50,601
Rent	-	-	-	-	-	-
Total unrestricted expenditures	105,399	328,504	140,528	56,966	105,442	736,838
Excess revenues (expenditures)	$ (32,519)	$ (22,523)	$ 10,545	$ (12,078)	$ 5,975	$ (50,600)

The accompanying notes are an integral part of these financial statements.

ASSOCIATION OF RESEARCH LIBRARIES
STATEMENT OF FUNCTIONAL EXPENSES
YEAR ENDED DECEMBER 31, 1995

COALITION FOR NETWORKED INFORMATION
UNRESTRICTED

	CORE FUNCTIONS	CONFERENCES	OTHER PROGRAMS	TOTAL
REVENUES				
Dues	$ 906,625			$906,625
Consultation		500	400	900
Training				
Grants & contracts			4,005	4,005
Investment income	34,743			34,743
Gain (loss) on asset sales	(16,627)			(16,627)
Cost recovery	-	8,728	-	8,728
Total unrestricted revenue	924,741	9,228	4,405	938,374
EXPENDITURES				
Employee costs	282,835	2,747	15,649	301,231
Professional services	6,785	6,702	25,928	39,414
Travel and meetings	8,070	191,782	46,064	245,916
Communications	37,506	8,083	1,348	46,938
Publications	2,539	8,172	44	10,755
Office operations	57,641	6,073	15,349	79,063
Rent	57,930		-	57,930
Special allocations	70,000	-	-	70,000
Total unrestricted expenditures	523,306	223,560	104,381	851,247
Excess revenues (expenditures)	$ 401,435	$ (214,332)	$ (99,976)	$ 87,127

The accompanying notes are an integral part of these financial statements.

APPENDIX VI

ARL MEMBERSHIP MEETING
May 1996
Attendance List

Member Institution	**Represented by**
University of Alabama Library	Charles Osburn
University of Alberta Library	Ernie Ingles
University of Arizona Library	Carla Stoffle
Arizona State University Library	Sherrie Schmidt
Auburn University Library	Bobby Holloway
Boston Public Library	Arthur Curley
Boston University Library	John Laucus
Brigham Young University	Sterling Albrecht
University of British Columbia Library	Ruth Patrick
Brown University Library	Merrily Taylor
University of California-Berkeley	Peter Lyman
University of California-Davis	Marilyn Sharrow
University of California-Irvine	Joanne Euster
University of California-Los Angeles	Gloria Werner
Universityof California-Riverside	John Tanno
University of California-San Diego	Gerald Lowell
University of California-Santa Barbara	Joseph Boissé
Canada Institute for Scientific & Technical Info	Bernard Dumouchel
Case Western Reserve University	Ray Metz
Center for Research Libraries	Donald Simpson
University of Chicago Library	Martin Runkle
University of Cincinnati Libraries	David Kohl
University of Colorado Libraries	James Williams
Colorado State University Library	Joan Chambers
Columbia University Libraries	Elaine Sloan
University of Connecticut Library	Paul Kobulnicky
Cornell University Libraries	[not represented]
Dartmouth College Library	Margaret Otto
University of Delaware	Susan Brynteson
Duke University Libraries	Robert Byrd
Emory University	Joan Gotwals
University of Florida Libraries	Dale Canelas
Florida State University Library	Charles Miller
Georgetown University Library	Susan Martin
University of Georgia Libraries	William Potter
Georgia Institute of Technology	Miriam Drake
University of Guelph Library	Michael Ridley
Harvard University Library	Richard De Gennaro
University of Hawaii Library	John Haak
University of Houston Libraries	Robin Downes
Howard University Libraries	Mod Mekkawi
University of Illinois at Chicago	Sharon Hogan

Member Institution	Represented by
University of Illinois at Urbana	Robert Wedgeworth
Indiana University Libraries	Patricia Steele
University of Iowa Libraries	Sheila Creth
Iowa State University Library	Nancy Eaton
Johns Hopkins University	James Neal
University of Kansas Libraries	William Crowe
Kent State University Libraries	Don Tolliver
University of Kentucky Libraries	[not represented]
Laval University Library	Claude Bonnelly
Library of Congress	Winston Tabb
Linda Hall Library	Lee Jones
Louisiana State University Libraries	[not represented]
McGill University Library	Eric Ormsby
McMaster University Library	Graham Hill
University of Manitoba Libraries	Carolynne Presser
University of Maryland at College Park	Anne MacLeod
University of Massachusetts Libraries	Gordon Fretwell
Massachusetts Institute of Technology	Ann Wolpert
University of Miami Library	Frank Rodgers
University of Michigan Library	Donald Riggs
Michigan State University Libraries	Carole Armstrong
University of Minnesota Libraries	Joseph Branin
University of Missouri Library	Martha Alexander
National Agricultural Library	Pamela André
National Library of Canada	Marianne Scott
National Library of Medicine	[not represented]
University of Nebraska-Lincoln	Joan Giesecke
University of New Mexico	[not represented]
New York Public Library	William Walker
New York State Library	GladysAnn Wells
New York University Libraries	Nancy Kranich
University of North Carolina Library	Joe Hewitt
North Carolina State University	Susan Nutter
Northwestern University Libraries	David Bishop
University of Notre Dame Libraries	Robert Miller
Ohio State University Libraries	William Studer
University of Oklahoma Libraries	Sul Lee
Oklahoma State University Library	Edward Johnson
University of Oregon Library	George Shipman
University of Pennsylvania Libraries	Paul Mosher
Pennsylvania State University Library	Nancy Cline
University of Pittsburgh Libraries	Rush Miller
Princeton University Libraries	[not represented]
Purdue University Library	Cheryl Kern-Simirenko
Queen's University	Paul Wiens
Rice University	Ferne Hyman
University of Rochester Libraries	James Wyatt
Rutgers University Libraries	Gary Golden
University of Saskatchewan	Frank Winter
Smithsonian Institution Libraries	Barbara Smith
University of South Carolina	[not represented]
University of Southern California	Jerry Campbell

Member Institution	Represented by
Southern Illinois University Library	Carolyn Snyder
Stanford University Libraries	Michael Keller
State University of New York at Albany	[not represented]
State University of New York at Buffalo Libraries	Barbara von Wahlde
State University of New York at Stony Brook	Charles Simpson
Syracuse University Library	[not represented]
Temple University Library	[not represented]
University of Tennessee Libraries	Paula Kaufman
University of Texas at Austin	[not represented]
Texas A&M University Library	Fred Heath
University of Toronto Libraries	Carole Moore
Tulane University Library	Philip Leinbach
University of Utah	Sarah Michalak
Vanderbilt University Library	Shirley Hallblade
University of Virginia	Karin Wittenborg
Virginia Polytechnic Institute & State University	Eileen Hitchingham
University of Washington, Seattle	Betty Bengtson
Washington State University Libraries	Nancy Baker
Washington University Libraries	Shirley Baker
University of Waterloo	Murray Shepherd
Wayne State University Libraries	Patricia Breivik
University of Western Ontario	Catherine Quinlan
University of Wisconsin Libraries	Kenneth Frazier
Yale University Library	Scott Bennett
York University Libraries	Ellen Hofmann

Guests	Represented by
American Historical Association	Sandria Freitag
Arizona State University	Charles Manz
Association of American Universities	Cornelius Pings
Association of American Universities	John Vaughn
Bodman, Longley, and Dahling	Susan Kornfield
University of British Columbia	David Strangway
University of California-Berkeley	Charlan Nemeth
University of California-Berkeley	Susan Rosenblatt
University of Calgary	Tom Eadie
Canadian Association of Research Libraries	Timothy Mark
Canada Institute for Scientific & Technical Info	Aldyth Holmes
Carleton University	Martin Foss
Columbia University Libraries	Carol Mandel
Concordia University	Roy Bonim
Council on Library Resources/CPA	Deanna Marcum
Duke University	Deborah Jakubs
Harvard University	Jan Merrill-Oldham
International Federation of Library Associations	Leo Voogt
Library of Congress	Sarah Thomas
The Andrew W. Mellon Foundation	Richard Ekman
University of Montreal	Arlette Joffe-Nicodème
University of Nebraska-Lincoln	Kent Hendrickson
Memorial University of Newfoundland	Richard Ellis

Guests	Represented by
University of New Brunswick	John Teskey
OCLC, Inc.	Dorothy Gregor
University of Ottawa	Richard Greene
University of Quebec at Montreal	Jean-Pierre Côté
University of Regina	William Maes
Research Libraries Group	James Michalko
Santa Clara University	André Delbecq
Simon Fraser University	Ted Dobb
Strategic Advantage, Inc.	Jim Harris
University of Victoria	Marnie Swanson
University of Virginia	Kendon Stubbs
University of Windsor	Gwendolyn Ebbett
York University/ARL Visiting Program Officer	Toni Olshen

ARL and CNI Staff

Adler, Prudence	Assistant Executive Director-Federal Relations and Info. Policy
Barrett, Jaia	Deputy Executive Director, and Dir. of Research & Development
Brennan, Patricia	Information Services Coordinator
Brooks, Mary Jane	Office Manager
Case, Mary	Director, Office of Scholarly Communication (effective 6/1)
Cheverie, Joan	Visiting Program Officer, Coalition for Networked Information
Deiss, Kathryn	OMS Program Officer for Training
Jackson, Mary	Access and Delivery Services Consultant
Jennings, Kriza	Program Officer for Diversity & Minority Recruitment & Retention
Jurow, Susan	Assistant Executive Director for Admin. and Director, OMS
Kyrillidou, Martha	Program Officer for Statistics and Measurement
Mogge, Dru	Electronic Information Services Coordinator
Peters, Paul	Executive Director, Coalition for Networked Information
Reed-Scott, Jutta	Senior Program Officer for Preservation and Collections Services
Rounds, Laura	Program Officer for Information Services
Sullivan, Maureen	OMS Organizational Development Consultant
Webster, Duane	Executive Director

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